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**PROVINCIAL NOTICE**

The following Provincial Notice is published for general information.

ADV. B. GERBER,  
DIRECTOR-GENERAL

Provincial Building,  
Wale Street,  
Cape Town.

**PROVINSIALE KENNISGEWING**

Die volgende Provinsiale Kennisgewing word vir algemene inligting gepubliseer.

ADV. B. GERBER,  
DIREKTEUR-GENERAAL

Provinsiale-gebou,  
Waalstraat,  
Kaapstad.

P.N. 368/2011

17 January 2012

**WESTERN CAPE GAMBLING AND RACING BOARD****RULES**

In terms of section 82 of the Western Cape Gambling and Racing Act, (Act 4 of 1996), as amended, the Western Cape Gambling and Racing Board hereby makes the following Casino Rules –

**WESTERN CAPE GAMBLING AND RACING BOARD  
CASINO RULES**

as originally published under

P.N. 394/2002 in *Provincial Gazette Extraordinary* 5952 dated 29 November 2002  
and amended by  
P.N. 52/2003 in *Provincial Gazette Extraordinary* 5983 dated 14 February 2003  
and amended by  
PN 447/2010 in *Provincial Gazette Extraordinary* 6821 dated 6 December 2010  
and amended by  
P.N. 84/2011 in *Provincial Gazette Extraordinary* 6860 dated 11 March 2011

In terms of section 82 of the Western Cape Gambling and Racing Law, Law 4 of 1996, as amended, the Western Cape Gambling and Racing Board hereby makes the following Rules, which shall replace the rules originally published under PN 394 of 2002 in *Provincial Gazette Extraordinary* 5952 dated 29 November 2002 and as amended by PN 52 of 2003 in *Provincial Gazette Extraordinary* 5983 dated 14 February 2003, PN 374 of 2000 in *Provincial Gazette Extraordinary* 5567 dated 23 August 2000 and amended by PN 581 of 2000 in *Provincial Gazette Extraordinary* 5614 dated 27 October 2000, PN 292 of 2001 in *Provincial Gazette* 5768 dated 21 September 2001, PN 323 of 2001 in *Provincial Gazette Extraordinary* 5778 dated 19 October 2001, PN 357 of 2001 in *Provincial Gazette* 5790 dated 16 November 2001 and PN 378 of 2001 in *Provincial Gazette* 5804 dated 7 December 2001:



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## CHAPTER I DEFINITIONS

### 1.1 Definitions

Any word or expression used in these Rules which is defined in the Western Cape Gambling and Racing Act and/or the Regulations made in terms thereof shall have the meaning assigned to it in the Act and/or Regulations, unless it is otherwise defined in these Rules or the context indicates otherwise. In these Rules, unless the context indicates otherwise –

- (1) **“acting capacity”** means a situation in which an employee temporarily performs a job or function other than the job or function normally assigned to that employee but shall exclude instances in which an employee is being trained in a position under supervision.
- (2) **“announced bet”** means a wager made without chips or cash.
- (3) **“canister”** means a lockable container housed in a slot machine, electronic poker table or table game betting station or machine which stores banknotes accepted by such machine.
- (4) **“cards”** means playing cards used in a table game to determine the outcome of that game.
- (5) **“cash desk”** means a physical structure immediately adjacent to the gambling floor that houses the cashiers and serves as a central location in the casino for –
  - (a) the custody of the cash desk inventory, comprising currency including patrons' deposits, coins, patron credit instruments, chips, forms, documents and records currently in use and normally associated with the operation of a cash desk;
  - (b) the approval, exchange, redemption, and consolidation of patron cheques received for the purposes of gambling;
  - (c) the distribution to patrons and redemption from patrons, of gambling chips, tokens or other value instruments, and
  - (d) the issue, receipt and reconciliation of imprest funds used in the acceptance of currency and coupons from patrons in exchange for currency.
- (6) **“cash equivalents”** means –
  - (a) guaranteed cheques, personal cheques, cashier's cheques, recognised travellers cheques or recognised money orders, any of which are made payable to the licence holder or to the bearer thereof, and
  - (b) recognised credit and/or bank cards.
- (7) **“central computer”** means the computer on which the wide area progressive system is operating and which links and collects data from the site controllers.
- (8) **“communication interface”** means the approved hardware and software that a gambling device uses for communication between itself and other components and/or devices as described in the SANS 1718-3.
- (9) **“controlled stationery”** means all numbered stationery, defined as such, in terms of these Rules or an operator's internal control system.
- (10) **“conversion”** means a change in a slot machine from one approved configuration to another approved configuration or from one approved mode of play to another approved mode of play.
- (11) **“dispute”** means any disagreement between a patron and a licence holder relating to a gambling-related procedure, the outcome of a gambling game or a payout.
- (12) **“distributor”** means the holder of a licence specified in section 51 of the Western Cape Gambling and Racing Act.
- (13) **“drop box”** means-

- (a) in relation to table games, a locked container permanently marked with the game, shift (if applicable) and number corresponding to a permanent number of the table, into which all currency exchanged for chips or credit instruments at the table and all other documents pertaining to transactions at the table must be placed, and
  - (b) in relation to slot machines, a container in a locked portion of the machine or its cabinet used to collect the money and tokens which are retained by the machine and are not used to make automatic payouts from the machine, which container is permanently marked with the number of the machine, but excludes a canister.
- (14) **"Digital Video Library ("DVL")"** means the location where the Surveillance Department archive or store all required footage, either physically or on an electronic system.
- (15) **"Electronic Funds Transfer ("EFT")"** means a system whereby credits are transferred to or from a gambling machine or device by any means other than coins, tokens or banknotes.
- (16) **"Electronic Occurrence Book"** means an electronic record-keeping system in which significant occurrences or incidents relating to the operation of a casino and all events or information which, in terms of the Rules or a licence holder's internal control standards must be reported to, or recorded by the Surveillance Department, are recorded.
- (17) **"Electronic Poker Table Game"** means a gambling device or system whereby patrons can play poker games against one another and the operator receives a rake-off from the wagers made.
- (18) **"EMS"** means an electronic monitoring system approved by the Board.
- (19) **"establishment"** means any premises where business is conducted pursuant to a licence issued by the Board, and includes all ancillary businesses and buildings, improvements, equipment and facilities used or maintained in connection with such businesses.
- (20) **"estimated drop"** means the rand amount of cash, any voucher or document used to purchase chips and plaques deposited into the drop box as recorded by the table game supervisor.
- (21) **"fair play"** means ensuring the conduct of gambling or any gambling-related activities between a licence holder and a patron in compliance with all approved procedures and the provisions of these Rules in respect of such gambling.
- (22) **"funds"** means money or any other instrument of value.
- (23) **"gambling cash dispensing machines"** means a system or device whereby patrons issued with a patron card may –
- (a) deposit funds to the credit of such card or account;
  - (b) withdraw or redeem funds in terms of a credit balance regarding such card and account;
- and excludes Bank Automatic Teller Machines (ATM).
- (24) **"gambling chips"** shall include the following –
- (a) "non-negotiable chip" means a gaming chip which cannot be exchanged for cash or other gambling chips and can only be issued to play a gambling game at a casino subject to certain terms and conditions;
  - (b) "non-value chip" means a gaming chip which has no face value and is normally associated with the colour chip float on a Roulette table, and includes, without limitation, a "wheel check" and a "colour chip";
  - (c) "plaque" means a gaming chip normally representing the value of a buy-in or used as part of the float for the table game of Punto Banco and Baccarat, and include, without limitation, "jeton";
  - (d) "promotional chip" means a gaming chip which may be used for a purpose specified in a licence holder's internal control standards, a specific promotion or a specific period at a casino, which has a restricted use, issue and negotiability in terms of the conditions under which it is issued;
  - (e) "special use gaming chip" means a gaming chip other than a value chip or a non-value chip and includes, without limitation, a "non-negotiable chip" and a "promotional chip", and

- (f) "value chip" means a gaming chip, which has a face value that is accepted within the casino environment as a means by which a wager can be placed, paid out and redeemed and includes, without limitation, an "American chip", a "cash chip" and an "oversize chip".
- (25) "**gambling day**" means an accounting period, not exceeding 26 hours, representing one operating day in the operation of a casino, which begins and terminates at such times as specified in a licence holder's ICS.
- (26) "**gambling-related**" describes any procedure, provision, policy, standard, operation, risk, tax, record, report, data, documentation, transaction, function, activity, dispute, incident, device, system, database, software, control, employee, asset, camera and equipment which a licence holder or the Board, in its discretion, has determined to have a direct or indirect gambling tax and/or fair play implication.
- (27) "**gambling-related device**" means any device, other than a gambling device, used in the conduct of gambling, which may have an influence on the outcome of a gambling game or on fair play, including automated card shuffling devices.
- (28) "**gambling-related systems**" includes all electronic systems, other than the EMS, which is used to generate, record, communicate, verify or store gambling and gambling-related information for reporting purposes as approved by the Board in terms of the Act.
- (29) "**game outcome**" means the final result of a wager.
- (30) "**handle**" means the total rand value of coins, tokens and credits wagered on a slot machine or table game betting station or an electronic poker table game.
- (31) "**hopper**" means the coin or token dispensing device in a slot machine or a table game betting station.
- (32) "**ICS**" means the approved internal control standards of a licence holder and WAP administrator containing the gambling-related provisions prescribed by the Act or required by the Board and includes, without limitation, all gambling-related policies, operating, administrative and accounting procedures and standards of the licence holder or administrator.
- (33) "**incompatible function**" means a function which places any employee or department in a position both to commit an error or irregularity or to perpetrate a fraud and to conceal such error, irregularity or fraud, which occurs, without limitation, where employees are members of separate departments that are not supervised independently of one another.
- (34) "**IT**" means Information Technology.
- (35) "**jackpot**" means any money, merchandise, object of value or any other consideration whatsoever specified or otherwise offered by the licence holder or indicated on a gambling device as a jackpot to be paid to a patron as the result of attaining a specific winning combination or combinations of characters indicated on a slot machine, table game betting station or cards dealt in a table game or mystery jackpot.
- (36) "**jackpot controller**" means a device which collects data from gambling devices and is used to control, manage and administer progressive or mystery jackpots.
- (37) "**journal entry**" means any change that is made to gambling-related electronic financial records.
- (38) "**LAP**" means a local area progressive jackpot, in respect of which all slot machines or table games electronically linked to a progressive jackpot, are located and administered on one licensed premises.
- (39) "**licence holder**" means the holder of a casino operator licence, as contemplated in section 45 of the Western Cape Gambling and Racing Act.
- (40) "**LOC**" means a letter of certification, issued by the Certification Authority (CA), certifying that a device complies with the national norms and standards in respect thereof.

- (41) **"logic area"** means a secure cabinet within a slot machine or table game betting station that houses the master processing unit and electronic components having the potential to influence the outcome of the gambling game or the communication of the slot machine with the electronic monitoring system.
- (42) **"management decision"** means a decision made by a licence holder to pay out a patron in respect of a game, other than in accordance with the provisions of its ICS or the Act, where –
- (a) a legal or winning bet was not tendered or placed by the patron;
  - (b) due to an error of whatsoever nature, the exact outcome of the game cannot be determined, and
  - (c) any payment of a prize or value, over and above what is legally owed to a patron in terms of the rules of such game,
- (43) **"manufacturer"** means the holder of a licence specified in section 50 of the Act.
- (44) **"modification"** means a change or alteration to an approved slot machine or table game betting station which affects the manner or mode of play of such device, including a change to control graphics programmes and a change in the theoretical hold percentage, otherwise than as provided for in paragraphs (d) and (e), but excluding –
- (a) a game conversion;
  - (b) the replacement of an approved component;
  - (c) the rebuilding of a previously approved device with approved components;
  - (d) a change in the theoretical hold percentage of a slot machine, provided that the slot machine meets the prescribed requirements after such change has been effected, and
  - (e) a change in the theoretical hold percentage of a slot machine as a result of the payment of a prize not accounted for by such machine.
- (45) **"monitoring"** means the recording of an activity or area by means of a camera linked to the licence holder's surveillance system.
- (46) **"mystery jackpot"** means any money, merchandise, object of value or any other consideration whatsoever specified or otherwise offered by the licence holder as a jackpot which may be paid to a patron when independently triggered as being so payable by an RNG (Random Number Generator).
- (47) **"non-banking casino game"** means a gambling game in which the licence holder is not party to the wager other than to facilitate the game and from which the licence holder receives compensation in the form of a rake-off, a time buy-in, or any other fee or payment, and includes the following gambling games: poker, bridge, whist, solo, and panguingui.
- (48) **"observation"** means the physical viewing of an activity or area by a member of the Surveillance Department, via the licence holder's surveillance system.
- (49) **"Occurrence Book"** means a register maintained by the Gambling Security Department, in which significant occurrences or incidents relating to the operation of the casino are recorded.
- (50) **"other value instrument"** means an instrument other than a chip or token representing value, with which wagering is conducted.
- (51) **"patron card"** means a card issued to a patron by a licence holder for the use in a casino as an instrument by means of which –
- (a) funds are deposited by such a patron to the credit of such card or account linked to such card;
  - (b) funds standing to the credit of such card or account linked to such card are withdrawn or redeemed by such patron, or
  - (c) gambling transactions are conducted by such patron against funds standing to the credit of such card or account linked to such card.
- (52) **"progressive jackpot"** means the amount advertised and payable for a winning combination of numbers, playing cards, symbols, pictures, figures, events or similar representations capable of being generated by a slot machine, the EMS or dealt on a table game, with a payout that increases automatically over time or as the machine or game is played.

Note: This definition includes mystery jackpots which are not necessarily displayed.

- (53) **"rake-off"** means a percentage of the total amount anted and wagered by a patron in a card game.
- (54) **"recorder"** means a device used to record the image of surveillance cameras onto storage media for reviewing purposes.
- (55) **"Return to Player (RTP)"** for slot machines means the ratio of total winnings to the total handle and is calculated by dividing the total amount won by patrons on a slot machine over a certain period by the total handle on that slot machine over the same period, expressed as a percentage.
- (56) **"SANS"** means South African National Standard 1718 pertaining to gaming.
- (57) **"SBGS"** means Server-based Gaming Systems and include, but are not limited to:
- (a) gaming devices comprised of a collection of conventional gaming devices or client stations connected to a system for the purposes of downloading games or control programs but capable of operating independently such that the game outcome is determined by the gaming device or terminals and not by the system;
  - (b) gaming devices comprised of a server or system part and terminals that, together, form a single integrated device where the system portion of the game determines the outcomes of the individual games conducted on the terminals and the terminals cannot operate independently from the system, and
- where the gaming devices and the servers are located on the same licensed premises.
- (58) **"shift"** means a work period of a group of employees including those employees conducting and supervising the operation of the mandatory departments prescribed by the Rules, working in relay with another such succeeding or preceding group of employees within specific time frames, as determined by a licence holder.
- (59) **"site controller"** means a device that gathers or receives information from gambling devices linked to a WAP-system and sends such information through to a central computer.
- (60) **"sleeper bet"** means a bet left on a table game which is not removed from the table layout and becomes a wager on the next succeeding game.
- (61) **"Slot Machine Supervisor"** means a person employed by a licence holder in its Slot Machine Department in a supervisory capacity or who is empowered to make discretionary decisions which may influence the operation of the Slot Machine Department and includes, without limitation, a Senior Floor Attendant, Senior Technician, Shift Manager, Duty Manager, Assistant Manager, and the Manager.
- (62) **"slot short"** means a document used to record short pay, special pay, jackpot, progressive jackpot, credit win and supplementary prize payout to patrons and includes hopper fill.
- (63) **"slugs"** includes counterfeit notes, ink-stained notes, counterfeit chips, counterfeit tokens and coins and all tokens and coins and denominations of tokens and coins not programmed to be accepted by a particular slot machine or found in the table game drop box or table game float.
- (64) **"supplementary prize"** means a pay-out or award, other than a progressive jackpot, advertised and payable for a winning combination of numbers, playing cards, symbols, pictures, events, figures or any similar representations in a gambling game, not reflected on the pay table of a slot machine or table game in respect of which the prize is won.
- (65) **"table game"** means any gambling game played in a casino other than on a slot machine, including, without limitation, Blackjack, Roulette, Poker, Punto Banco, Dice, non-banking casino games and Wheel of Fortune.
- (66) **"table game betting station"** means a terminal linked to a gambling table where all wagers are placed and winnings paid out by electronic means only.

- (67) **"Table Game Supervisor"** means a person employed by a licence holder in its Table Game Department in a supervisory capacity or who is empowered to make discretionary decisions which may influence the operation of the Table Game Department and includes, without limitation, an Inspector, Pit Boss, Shift Manager, Duty Manager, Assistant Manager and the Manager.
- (68) **"time synchronisation"** means an electronic system implemented to ensure that time synchronisation between the EMS and the Surveillance System is maintained, and where time means; day, date, hours, minutes and seconds.
- (69) **"UPS"** means an uninterruptible power supply.
- (70) **"value stationery"** means -
- (a) any document representing value which may, in terms of the conditions set forth therein, be exchanged for cash or cash equivalents or used as a wager during game play, and
  - (b) any source document utilised to calculate gambling revenue.
- (71) **"VTL"** means the surveillance video tape library.
- (72) **"wager"** means a sum of money or other object of value risked or staked on the outcome of a gambling game.
- (73) **"WAP"** means a wide area progressive jackpot which is linked to multiple casino premises.
- (74) **"WAP administrator"** means the person administering the WAP-system.
- (75) **"WAP-system"** means a wide area progressive jackpot system in terms of which designated gambling machines or table games on more than one licensed premises are electronically linked to one another and offer one or more games in respect of which one or more progressive jackpots may be won, and includes all computer hardware and software used in the operation of such games, including data lines, site or communication controllers and a central computer.
- (76) **"working day"** means any day excluding weekends and public holidays.

**CHAPTER II**  
**ORGANISATIONAL STRUCTURE, JOBS COMPENDIUM**  
**AND STAFFING LEVELS**

**2.1 Organisational structure**

- (1) Every licence holder shall implement and maintain an organisational structure consisting of executive management, departments, divisions, sections and jobs ensuring –
- (a) the segregation of incompatible functions into independent departments, divisions, sections and jobs;
  - (b) the creation of a clear chain of command;
  - (c) the continuous authorisation and supervision of gambling and related activities, and
  - (d) the division of responsibility and accountability so as to prevent any area of accountability or responsibility to become so extensive that it becomes impractical for one person to perform, supervise or control.
- (2) A diagram of the licence holder's gambling-related organisational structure shall be deemed to be part of the ICS and shall clearly indicate –
- (a) titles of each department, division, section and job;
  - (b) all executive management positions having the authority to influence the operation of the casino, departments, divisions, sections and jobs, and
  - (c) the direct and indirect lines of authority within the organisational structure, reflecting the chain of command.
- (3) A licence holder shall at all times maintain staffing levels in a manner which ensures the proper operation and effective supervision of all gambling and related activities.
- (4) The Board may order a licence holder to utilise higher levels of staffing than those provided for in these Rules or contained in its ICS if in the opinion of the Board it is necessary for the conduct, supervision and control of any gambling-related activity.
- (5) The organisational structure of a licence holder shall provide for the following independent mandatory departments –
- (a) a Slot Machine Department, which shall –
    - (i) be responsible for all slot machines on the licence holder's premises, including the day-to-day operation and maintenance thereof;
    - (ii) ensure the integrity, validity and accuracy of all slot machine information, and
    - (iii) not be involved in the slot machine count process or be able to alter data utilised by it;
  - (b) a Table Game Department, which shall –
    - (i) be responsible for all table games on the licence holder's premises, including the day-to-day operation and conduct thereof;
    - (ii) ensure the integrity, validity and accuracy of all table game information, and
    - (iii) not be involved in the table game soft count process or be able to alter data utilised by it;
  - (c) a Casino Accounting Department, which shall be responsible for the day-to-day operation of the gambling-related administrative and financial functions and for the following independent functions –
    - (i) cash desk;
    - (ii) clearance and count, and
    - (iii) casino administration;

- (d) a Surveillance Department, which shall –
- (i) implement and maintain a surveillance system in accordance with the provisions of the licence holder's ICS and the Act;
  - (ii) monitor, record and observe all areas and activities that are required to be monitored, recorded and observed in terms of the licence holder's ICS and the Act, including child care facilities;
  - (iii) monitor and measure the level of compliance with the day-to-day gambling-related operational provisions of the licence holder's ICS and the Act;
  - (iv) compile and maintain a risk analysis in respect of day-to-day gambling and gambling-related activities;
  - (v) evaluate and analyse trends upon the identification thereof and make recommendations on the improvement of procedures, systems and internal control standards and the effective utilisation of resources in order to enhance the level of compliance;
  - (vi) perform audits and investigations prescribed in terms of the Rules;
  - (vii) investigate, record and report all disputes, as defined in the Rules, subject to the Board's power to resolve disputes which cannot be resolved at an operational level, and
  - (viii) investigate, record and report upon –
    - (aa) instances of non-compliance with the provisions of the licence holder's ICS or the Act, and
    - (bb) suspected illegal gambling-related activities within the casino operation.
- (e) a Gambling Security Department, which shall secure gambling-related assets and manage the access controls, and
- (f) an Information Technology (IT) Department, which shall install and maintain all gambling-related systems and the EMS, ensuring the quality, reliability, communication, security and backup of all such systems and electronic data used by the licence holder in the conduct of its casino.
- (6) In addition to the provisions prescribed in this Rule, the mandatory departments shall perform such further duties and responsibilities as are assigned to it in the licence holder's ICS and/or the Act.
- (7) A licence holder shall not commence any gambling operations unless the Board has approved its organisational structure.
- (8) A licence holder shall not amend or implement any amendments to its approved organisational or personnel structures without the prior written approval of the Board.
- (9) The Board may approve the combination of certain departments or supervisory positions if the licence holder is able to demonstrate compliance with the provisions of this Rule.
- (10) The licence holder may not outsource any of the functions assigned to the mandatory departments by the licence holder's ICS or the Act without the prior written approval of the Board.
- (11) The licence holder shall, within 5 working days after the conclusion of every month, submit an employee movement report to the Board indicating in respect of the preceding month –
- (a) all newly appointed gambling-related employees;
  - (b) all licence renewals in respect of gambling-related employees;
  - (c) all gambling-related employees who left the employment of the licence holder (including reasons for terminating employment);
  - (d) all persons in acting capacities;
  - (e) all promotions or demotions in respect of gambling-related employees;
  - (f) all transfers in respect of gambling-related employees, and
  - (g) all name and surname changes in respect of licensed employees.
- (12) The licence holder shall, within 5 working days after the conclusion of every quarter submit a report to the Board indicating all vacant posts per department and position in the said period.



- (13) The licence holder shall, within 5 working days after the conclusion of every twelve months, submit a report to the Board indicating in respect of each mandatory department –
- (a) the number of employees allocated to each position;
  - (b) the relevant experience of each employee in his or her position;
  - (c) relevant experience of all employees in the same position;
  - (d) the experience of each employee in the relevant department;
  - (e) average experience of all employees in such a position, in the relevant department, and
  - (f) the staff turnover for the preceding twelve months in the relevant position in each position prescribed in respect of such department by these Rules.

## 2.2 Jobs Compendium

- (1) A licence holder shall prepare and maintain in its ICS a jobs compendium that complies with the provisions of this Chapter in respect of all positions which by their nature are engaged in gambling and gambling-related activities.
- (2) A jobs compendium shall comprise a description of each job which accurately corresponds to the position title as reflected in the organisational structure. Each job description shall be on a separate page or document, shall be organised by department, division or section and shall include –
- (a) a table of contents listing the position title, job code (if applicable) and the page number on which the job description referred to in sub-rule (2)(b) may be found, and
  - (b) the relevant position title, job code and corresponding department, division or section;
  - (c) direct and indirect reporting lines and the nature and extent of authority over subordinates;
  - (d) the duties, responsibilities and the limitations in respect thereof, and
  - (e) the type of licence required to be issued in respect of the specific position.
- (3) A licence holder shall not commence any gambling operations unless the Board has approved its jobs compendium.
- (4) A licence holder shall not amend or implement any amendments to its approved jobs compendium or allocate additional gambling-related duties to employees over and above the duties allocated to them in terms of the Act and its ICS, without the prior written approval of the Board.
- (5) Whenever any delegation, function or duty is assigned to the incumbent of a particular position in terms of these Rules, such delegation, function or duty shall be capable of being performed by an employee in a higher position, provided that no incompatible functions arise as a result of the performance thereof.
- (6) The Board may order a licence holder to utilise higher levels of staffing if in the opinion of the Board it is necessary for the proper conduct and effective supervision and control of any gambling-related activity.
- (7) The licence holder shall ensure that only adequately trained or experienced and appropriately licensed employees are utilised in the positions indicated on the organisational structure.

## 2.3 Acting Capacity

- (1) An employee shall not serve in an acting capacity in a position which is more than one level higher on the organisational structure than the position actually assigned to that employee.
- (2) In the event of an employee serving in an acting capacity in a lower position than that employee's actual position, that employee shall be supervised only by an employee with an equal or higher position than that employee's actual position.
- (3) In the event that an employee is undergoing training in a specific position, such employee may not act in a position higher than the position in respect of which the training is being provided.
- (4) An employee shall not serve in an acting capacity unless the position in which he or she is required to act is vacant or the current custodian of that post is absent from work.

- (5) No position shall be filled by a person in an acting capacity for more than 15 shifts in any calendar month, without the prior approval by the Board.
- (6) In case of section (5) above, the relevant employee's head of department shall authorise, in writing, such employee to serve in an acting capacity and shall inform the Human Resources and Surveillance Departments.
- (7) The relevant employee shall complete the required documentation to request the allocation of user access rights on the EMS and gambling-related systems and such document shall be signed by such employee, the relevant head of department and a representative of casino administration.
- (8) The Surveillance Department shall record all instances where employees in operational mandatory departments, are serving in acting capacities, including the reason for such service, in the Electronic Occurrence Book.
- (9) No employee shall simultaneously perform the functions allocated to more than one position for any time during that employee's shift.
- (10) The licence holder shall ensure that only adequately trained or experienced and appropriately licensed employees are utilised to serve in acting capacities.

#### 2.4 Categories and levels of staff required

- (1) A licence holder's organisational structure and jobs compendium shall provide for the following categories of staff –
  - (a) in its Slot Machine Department –
    - (i) Slot Machine Technicians, who shall repair and maintain slot machines. Slot Machine Technicians shall report directly to a Slot Machine Technical Manager or, in the absence of a Slot Machine Technical Manager, directly to the Slot Machine Manager. The Slot Machine Technicians shall operate independently of the Slot Machine Attendants;
    - (ii) Slot Machine Attendants, who shall be responsible for the operation of slot machines, including participating in slot short payouts and hopper fills;
    - (iii) Slot Machine Supervisors, who shall supervise the operation of all slot machines. In the absence of the Slot Machine Manager or, where applicable, the Assistant Slot Machine Manager, the Slot Machine Supervisor shall have the authority of the Slot Machine Manager, and
    - (iv) a Slot Machine Manager, who shall –
      - (aa) supervise and manage the overall operation of the Slot Machine Department, including participation in the appointment and termination of employment of all Slot Machine Department employees, and
      - (bb) ensure that the structure and operation of Slot Machine Department complies with the licence holder's ICS and the Act;
  - (b) in its Table Game Department –
    - (i) Dealers, who shall be assigned to each table game to directly operate and conduct such table game;
    - (ii) Inspectors, who shall be the first level of supervision, and who shall directly supervise the operation and conduct of table games, other than table games where all wagers are placed and winnings paid out by electronic means only, provided that no Inspector shall –
      - (aa) be assigned to more than three gambling tables simultaneously;
      - (bb) in respect of the games Punto Banco, Wheel of Fortune and Dice, be assigned to more than one gambling table at any given time, or
      - (cc) supervise more than two types of gambling games at any given time,

notwithstanding the above, the Board may, upon demonstration by a licence holder that the levels of competence of its table game employees are adequate and that there are sufficient controls to ensure the

effective conduct and supervision of table games, for games other than roulette in respect of which a wager is placed on the gambling table or the games specified in paragraph (bb), approve the assignment of one Inspector to three gambling tables simultaneously;

- (iii) Pit Bosses or Duty Managers, who shall be the second level of supervision, and who shall supervise the operation and conduct of a such number of table games as may be required or approved by the Board, and
- (iv) a Table Game Manager, who shall –

- (aa) supervise and manage the overall operation of the Table Game Department including participation in the appointment and termination of employment of all Table Game Department personnel, and
- (bb) ensure that the structure and operation of the Table Game Department complies with the licence holder's ICS and the Act.

- (c) in its Surveillance Department –

- (i) Surveillance Operators, who shall observe, investigate and record activities specified by the licence holder's ICS and the Act, provided that, during casino operating hours a ratio of one surveillance operator to five monitors shall be maintained to monitor the views required in terms of the Rules, and provided further that surveillance monitoring shall not be required in respect of –

- (aa) closed gambling tables;
- (bb) closed slot machine areas;
- (cc) closed Cash Desk windows and vault areas, and
- (dd) count rooms and storage areas where no uncounted drop is stored, secured or counted;

- (ii) Surveillance Shift Managers, who shall supervise the Surveillance Operators on a shift and ensure that the surveillance system is functioning in accordance with the provisions of the ICS and the Act during the shift;
- (iii) a Surveillance Investigator, who shall be responsible for the investigation of exceptions, performance of prescribed audits, risk analyses and trend analyses;
- (iv) a Surveillance Manager, who shall –
  - (aa) supervise and manage the overall operation of the Surveillance Department including participation in the appointment and termination of employment of all Surveillance Department personnel,
  - (bb) ensure that the structure and operation of the Surveillance Department and the functioning of the surveillance system complies with the provisions of the licence holder's ICS and the Act.

- (2) The Board may approve the combination of certain categories of employees or functions specified in this Rule if the licence holder is able to demonstrate that there are no incompatible functions and that the proper conduct and effective supervision and control of gambling and related activities will not be prejudiced thereby.
- (3) This Rule does not preclude a licence holder from utilising additional categories of employees or the Board from ordering a licence holder to utilise additional categories of employees where it deems it necessary for the proper conduct and effective supervision and control of any gambling-related activity.
- (4) A licence holder shall not, without prior written approval of the Board, assign any additional duties to its Surveillance Department over and above what is prescribed in terms of the Act or its ICS unless additional staffing has been provided in respect thereof.

**CHAPTER III**  
**INTERNAL CONTROL STANDARDS**

**3.1 Internal Control Standards**

- (1) Every licence holder shall develop, implement and maintain a written ICS to ensure –
- (a) the integrity of its gambling operation;
  - (b) that adequate controls are in place effectively to manage and minimise gambling-related risks;
  - (c) that gambling-related devices, documents and information is properly controlled and safeguarded;
  - (d) that uncouped drop is secured;
  - (e) that financial and other gambling-related records are accurate and reliable;
  - (f) that gambling-related transactions are performed with the necessary authorisation;
  - (g) that gambling-related transactions are recorded in sufficient detail to ensure the proper reporting of gambling revenue, taxes and other fees due;
  - (h) that accountability and responsibility for the performance of gambling-related duties are assigned to the appropriate personnel, and
  - (i) that gambling-related functions, duties and responsibilities are appropriately segregated and performed in accordance with sound practices by competent and appropriately qualified employees.
- (2) A licence holder's ICS shall contain only those procedures and provisions required in terms of the Act and such further procedures and provisions as the Board may from time to time determine or approve.
- (3) A licence holder shall not commence with any gambling or related activities prior to the approval of its ICS by the Board.
- (4) A licence holder shall not amend its ICS or implement any new or revised policies, procedures or standards contained or required to be contained in its ICS without the prior written approval of the Board.
- (5) A licence holder shall submit amendments to its approved ICS in the manner and format determined by the Board.
- (6) The Board may order a licence holder to amend its ICS if in the opinion of the Board it does not comply with the requirements of Rule 3.1.
- (7) A licence holder shall conduct its operations in terms of its ICS.
- (8) If a licence holder contravenes any provision or procedure of its ICS or omits to amend its ICS within 28 days of receiving an order from the Board to amend its ICS, such contravention or omission shall be deemed to be a contravention of these Rules.
- (9) Upon receipt of a request by a patron, the licence holder shall make available to such patron for perusal a copy of any relevant sections of its approved ICS in relation to an operational issue raised by such patron, which might have a fair play implication.

## CHAPTER IV

### SLOT MACHINE DEPARTMENT

#### 4.1 ICS

- (1) At a minimum, the licence holder's Slot Machine Department ICS shall contain provisions and procedures relating to –
- (a) the management of the slot machine and SBGS terminal information records;
  - (b) the commissioning and de-commissioning of slot machines and SBGS terminals on the gambling floor, including –
    - (i) the set-up and testing of slot machines and SBGS terminals;
    - (ii) the procedures required in respect of informing all the departments affected by such commissioning or de-commissioning, including the Surveillance and Casino Accounting Departments of the intended commissioning and de-commissioning, and
    - (iii) the controls to monitor the number of stored slot machines;
  - (c) controls relating to the detection and repair of slot machine and other gambling device malfunctions;
  - (d) controls relating to the implementation of changes in the RTP percentage or percentages of slot machines, including multi-game slot machines;
  - (e) the method of detecting variances between theoretical and actual hold percentages in respect of slot machines;
  - (f) opening and closing hopper fill procedures;
  - (g) monthly hopper float reconciliation;
  - (h) monitored key controls, including the receipt and return of keys;
  - (i) access to slot machines and SBGS terminals, including the control and recording of logic area access;
  - (j) accounting and recording of coins or tokens, bills and credits used for the testing of slot machines and SBGS terminals;
  - (k) the management of slot short books and other value stationery, including storage, issue and return;
  - (l) the management and control of other value instruments, including the method of buy-in, pay-out, audit trail of transactions and variances;
  - (m) the control and recording of unclaimed credits and slot shorts and late claims;
  - (n) the control of purse clear and patron card adjustments, where applicable;
  - (o) the control, recording and reconciliation of hopper bag and slot machine spillage;
  - (p) the recording and correction of RAM clears, meter wraps and slot machine and SBGS terminal soft meter violations;
  - (q) hopper fill, jackpot, credit win, short pay; hand pay, progressive jackpot and supplementary prize slot shorts, including –
    - (i) slot short book issue and storage;
    - (ii) transportation of hopper fills;
    - (iii) completion of slot shorts;
    - (iv) slot short verification;
    - (v) correction of errors on slot shorts;
    - (vi) signing limits;
    - (vii) return of slot short books;
    - (viii) physical controls in respect of a automated slot short system and assigning of passwords, and
    - (ix) manual slot shorts.
  - (r) jackpot verification procedures;
  - (s) progressive jackpots, including –
    - (i) game control;
    - (ii) testing and set-up of increment and base values;
    - (iii) system maintenance;
    - (iv) jackpot controllers and engines;
    - (v) the securing and control of all files and data;
    - (vi) determining system accuracy;
    - (vii) the limiting of progressive jackpots;
    - (viii) recording of buy-in and or incremental values;

- (ix) jackpot verification, and
  - (x) LAP and WAP procedures, where applicable;
  - (t) emergency count and clearance procedures, where applicable;
  - (u) the investigation of variances between metered and actual slot machine and SBGS terminal hard and bill drop, including hopper variances, and
  - (v) the resolution of patron disputes.
- (2) All ICS requirements relating to slot machines shall, with the necessary changes, apply to all SBGS terminals made available for play by the licensed operator.

#### 4.2 Slot machine information record

- (1) In respect of each slot machine in its slot machine inventory, a licence holder shall record and maintain accurate and current records reflecting –
- (a) the date on which the slot machine was received;
  - (b) the serial number assigned to that slot machine by the manufacturer thereof;
  - (c) an unique asset number assigned to that slot machine which shall remain unchanged for the entire duration of the period during which such machine is owned by or in the possession of the licence holder;
  - (d) the slot machine number, where applicable;
  - (e) the name of the licensed manufacturer thereof;
  - (f) the hardware model number and Board approval number;
  - (g) the communication software memory device number, communication software memory device checksum number and communication software Board approval number;
  - (h) the game type and description;
  - (i) the RTP percentage or where applicable, percentages;
  - (j) the game software memory device number, game software memory device checksum number and game software Board approval numbers;
  - (k) the method and date of disposal;
  - (l) the total number of slot machines on the gaming floor and in storage, and
  - (m) slot machine permit numbers, where applicable.
- (2) All Rules relating to the management and control of slot machines shall, with the necessary changes, apply to SBGS Terminals.

#### 4.3 Slot machine soft meters

- (1) Each slot machine shall electronically and accurately record and store the following information –
- (a) the number of coins or tokens inserted into the slot machine (coin-in);
  - (b) total of credits bet;
  - (c) total number and rand value of credits won;
  - (d) the total number of coins or tokens automatically paid out by the slot machine (coin-out);
  - (e) the number of coins or tokens deposited into the slot machine drop box (hard drop);
  - (f) jackpot payments and accumulated credit wins;
  - (g) number of games played;
  - (h) in respect of slot machines with a bill validator –
    - (i) notes-in in rand value, or
    - (ii) the number of notes accepted per denomination;
  - (i) in respect of slot machines operating with patron cards the rand value of –
    - (i) the total number of credits booked from the patron card to the slot machine (card-in), and
    - (ii) the total number of credits cashed out from the slot machine to the patron card (card-out).

#### 4.4 Slot machine identification

- (1) A plate shall permanently be affixed to the cabinet of every slot machine, reflecting –
  - (a) the unique serial number of the machine, and
  - (b) the name of the manufacturer of such machine.
- (2) A number shall be assigned to each slot machine, which shall be clearly visible on the front of the slot machine.
- (3) A maximum of 12 betting stations may be linked to a slot machine.

#### 4.5 Slot machine malfunctions

- (1) Unless a slot machine is deactivated automatically once its memory or the EMS memory has reached full capacity, the Slot Machine Department shall, at least once every four hours, perform checks on the EMS or the casino floor to detect slot machine and communication errors.
- (2) The Slot Machine Department shall immediately –
  - (a) investigate all slot machine malfunctions and document the results thereof, and
  - (b) inform the Surveillance Department of all significant event communication errors.
- (3) The slot machine shall be powered down or disabled and may not be available for play if –
  - (a) a malfunction has occurred which cannot be repaired immediately, or
  - (b) there is a malfunction that may –
    - (i) have a fair play implication, or
    - (ii) affect the integrity of the slot machine or EMS information.

#### 4.6 Slot Shorts

- (1) Unless the Board approves otherwise, a licence holder shall utilise a gambling-related system to record, generate and redeem slot shorts.
- (2) Personnel participating in slot short transactions shall not have the ability to alter any electronic slot short information unless otherwise prescribed in licence holders approved ICS.
- (3) The employees involved in the generation of a slot short shall verify that the slot short reflects the correct –
  - (a) date and time;
  - (b) slot machine number;
  - (c) type of slot short, and
  - (d) slot short value.
- (4) The Cashier shall verify that all relevant detail, prescribed in the Rules has been completed on a slot short and is signed by the relevant employees and patrons, where applicable, prior to redeeming such slot short.
- (5) The Cashier redeeming the slot short shall verify the following slot short information –
  - (a) date and time
  - (b) slot short number,
  - (c) value of the slot short;
  - (d) slot machine number, and
  - (e) type of slot short

to the detail reflected on the gambling-related system prior to redeeming the slot short to ensure that the correct slot short document has been redeemed against the correct slot short information reflected on the computerised system.

- (6) In circumstances where a slot short contemplated in this sub-rule cannot be verified by the Cashier on the gambling-related system, the Slot Machine Department Supervisor shall verify the legitimacy and value thereof and shall be required to authorise the redemption of the slot short.
- (7) The original slot short form, representing the value, shall be accounted for by Casino Administration personnel who shall –
  - (a) investigate all missing or altered slot shorts;
  - (b) compare the slot short information to the computerised slot short system and EMS information, and
  - (c) check the documents for completeness and accuracy.
- (8) In the event of an EMS or gambling-related system communication failure –
  - (a) manual slot short documentation shall be issued in triplicate format, and
  - (b) Casino Administration shall verify the original forms with the computerised system values once the communication is restored. In the event that the computerised system values are irretrievable, Casino Administration shall compare the original documents with the first copies to verify that no alterations have been made to the original documents and verify the accuracy and correctness of such documents.
- (9) The licence holder shall obtain written approval from the Board for all supplementary prizes prior to offering such prizes.
- (10) In the event of a patron being short paid in an amount of R10-00 or less, a Slot Machine Supervisor may perform a hand payment from the hopper only after the legitimacy of the claim has been verified.
- (11) In the event of a patron being short paid in an amount which exceeds R10-00, a short pay slot short shall be issued to the patron for the outstanding value owed to the patron only after the legitimacy of the claim has been verified.
- (12) The Surveillance Department shall be informed before a short pay slot short payout or hand payment is made.
- (13) Subsequent to a short pay due to a technical error on a slot machine –
  - (a) in a token or coin operated environment, the outstanding credits on the slot machine shall be cashed out by the Slot Machine Technician in the presence of a Gambling Security representative after the technical error has been corrected. The tokens or coins shall be deposited in the slot machine drop bucket, and
  - (b) in a patron card environment the licence holder shall ensure that only the value paid out to the patron is deducted for the purposes of calculating gambling tax.
- (14) In respect of hopper fills –
  - (a) the slot machine representative involved in this transaction shall verify that the hopper is empty prior to generating the hopper fill slot short and ensure that the hopper fill is deposited into the correct slot machine;
  - (b) prior to any hopper fill being transported to a slot machine, the Cashier and slot machine representative shall verify the number of tokens or coins in the hopper bag and the value thereof;
  - (c) the deposit of the hopper fill coins or tokens into the slot machine hopper shall be witnessed by a slot machine supervisory or gambling security employee;
  - (d) both a slot machine supervisory employee and a representative of the Gambling Security Department shall witness the deposit of hopper fills of R5000-00 and above into the slot machine, and
  - (e) the Surveillance Department shall be informed prior to the hopper fill, referred to in paragraph (d), leaving the Cash Desk.
- (15) The licence holder shall on a daily basis, compare slot short values to slot machine jackpot meters and investigate any variances between such amounts. The results of such investigations and the remedial steps taken, if any, shall be documented by the Casino Administration Department and retained for Board inspection.



#### 4.7 RAM Clear

- (1) A RAM clear shall not be possible except by accessing the slot machine logic area and only after the authorisation by a Slot Machine or Technical Supervisor.
- (2) Prior to and after performing a RAM clear on a slot machine, the slot machine technician shall record the details prescribed by the Rules on the RAM reset documentation and shall forward the information to Casino Administration on a daily basis.
- (3) A printout of the meter information on the EMS, prior to the RAM clear, shall be attached to the RAM reset documentation, or recorded thereon.

#### 4.8 Testing money and tokens used as a deduction from gambling revenue

- (1) A Slot Machine Technician shall record the value of all monies used for testing slot machines and returned to the Cash Desk for purpose of calculating gambling revenue.
- (2) The Slot Machine Technician shall ensure that –
  - (a) test sheets and EMS reports that reflect the correct value used for testing and the value cashed out from each slot machine tested are retained, and
  - (b) the correct value is returned to the Cash Desk.
- (3) Testing shall be conducted in the presence of a representative of the Gambling Security Department and the details prescribed in the Rules shall be completed by the Slot Machine Technician.
- (4) Notwithstanding the provisions of this Rule, a representative of the Gambling Security Department shall not be required to be present -
  - (a) when the value returned to the Cash Desk corresponds with the value signed out for the purpose of testing a slot machine;
  - (b) in an environment where the attached EMS reports reflect the value deposited in and cashed out from each slot machine, and
  - (c) prior to commissioning a slot machine on the casino floor.
- (5) The Surveillance Department shall be informed prior to a hopper test being performed on a slot machine and shall observe the process and record the detail of such event in the Surveillance Electronic Occurrence Book.

#### 4.9 Removal of a slot machine from the casino floor

- (1) The Surveillance Department shall be notified prior to the removal of any slot machine from the gambling floor.
- (2) The Surveillance Department shall be informed prior to any slot machine changes to ensure that the surveillance system is not altered without the approval of the Board.
- (3) A representative of the Gambling Security Department shall be present when the slot machine hopper contents and/or logic area are accessed to ensure that such contents are adequately safeguarded and secured.
- (4) Whenever a slot machine is removed from the casino floor, a Slot Machine Technician shall add the slot machine's hopper contents to the slot machine drop bucket. This shall be done in the presence of a representative of the Gambling Security Department.
- (5) Before a slot machine is removed from the floor, a slot machine hard and bill clearance shall be performed to ensure that all bills and tokens or coins are secured.

- (6) Casino Administration shall be informed prior to any slot machine replacements to ensure that the EMS correctly reflects the slot machine data. A representative of the Slot Machine Department shall verify the accuracy of the changes that were effected.
- (7) The Slot Machine Department shall perform tests on a slot machine which has been installed on the gambling floor to ensure that the slot machine soft meters and events are correctly recorded on the EMS, prior to exposing the slot machine for game play by patrons. The test results shall be in the format determined or approved by the Board.

#### 4.10 Hopper bag and slot machine spillage

- (1) When hopper bag spillage occurs prior to the coins or tokens reaching the slot machine –
  - (a) the Surveillance Department shall be informed immediately;
  - (b) the tokens or coins shall be collected and handed over to the Cash Desk. A Cashier shall, in the presence of a slot machine representative, weigh or count a new hopper bag to verify the amount of tokens or coins and value thereof, and
  - (c) the original hopper fill documentation shall be used and a new hopper fill slot short shall not be issued.
- (2) Weekly checks shall be performed for spillage in all slot machines in the presence of a representative of the Gambling Security Department.
- (3) Spillage in the slot machine shall immediately, after the Surveillance Department has been informed, be added to the drop box contents.

**CHAPTER V**  
**TABLE GAME DEPARTMENT**

**5.1 ICS**

- (1) At a minimum, the licence holder's Table Game Department ICS shall contain provisions and procedures relating to –
- (a) table game rules, including –
    - (i) the preparation of table games before and during game play;
    - (ii) table game limits, including minimum and maximum wagers;
    - (iii) the method of exchange of value for buy-in and payout;
    - (iv) the types of bets permitted;
    - (v) the types of shuffles permitted;
    - (vi) dealing and drawing rules;
    - (vii) clean hands procedure;
    - (viii) the method of determination of game results, including winning combinations and odds;
    - (ix) the authority and procedures in relation to table game management decisions;
    - (x) the treatment of irregularities, and
    - (xi) the order of pay-outs of all table games;
  - (b) the method of recording drop, including manual and computerised procedures;
  - (c) the manner of roulette wheel and card shuffler maintenance, clearly distinguishing between routine and comprehensive services inclusive of the daily checks;
  - (d) card and dice control, including –
    - (i) receipt at pit;
    - (ii) methods to ensure the integrity of cards and dice;
    - (iii) issue to tables;
    - (iv) spare decks of cards and dice;
    - (v) damaged and tampered cards and dice, and
    - (vi) removal of cards and dice from the tables;
  - (e) key controls, including issue, key bunches and the return of keys;
  - (f) the storage of manual value stationery;
  - (g) table openings and closings, including –
    - (i) verification and recording of opening and closing floats;
    - (ii) manual and computerised procedures;
    - (iii) temporary openings and closings;
    - (iv) type of table floats utilised, including rolling floats;
    - (v) flip top procedures, where applicable, including the management of table floats, and
    - (vi) the securing of table floats;
  - (h) table fills and credits, including –
    - (i) opening table fills and closing credits;
    - (ii) manual and computerised procedures;
    - (iii) treatment of incorrect table fills and credits, and
    - (iv) verification of documentation and chips;
  - (i) table game progressive jackpots, including –
    - (i) game control;
    - (ii) the securing and control of all files and data;

- (iii) the functioning and control of jackpot controllers and engines;
  - (iv) the set-up and testing of incremental and base values;
  - (v) the method of recording buy-in and pay-out;
  - (vi) method of jackpot verification;
  - (vii) the reconciliation and verification of system accuracy;
  - (viii) the limiting of progressive jackpots, and
  - (ix) LAP and WAP procedures, where applicable;
- (j) the management of documents used to purchase chips, including pit markers, patron card purchase slips, chip purchase vouchers, voucher for non-redeemable chips or gambling credits and promotional vouchers;
  - (k) table game soft clearances, and
  - (l) the resolution of patron disputes, including the recording of management decisions made.
- (2) All ICS requirements relating to slot machines shall, with the necessary changes, apply to all table game betting stations made available for play by the casino.

## 5.2 Gambling Tables

- (1) Permanent table numbers shall be affixed to the layouts of all gambling tables to enable individual gambling tables to be easily distinguishable to the public and via the surveillance system.
- (2) In the event that a table game betting station is linked to a table game, the betting station shall be deemed to be part of that specific table, provided that no table game may offer a combination of betting stations and live play, unless the Board approves otherwise.
- (3) A maximum of 12 betting stations may be linked to a table game.
- (4) A minimum of two patrons and a maximum of 12 patrons may play on one electronic poker table game.
- (5) All Rules relating to the management and control of slot machines shall, with the necessary changes, apply to table game betting stations and electronic table games.

## 5.3 Table game opening and closing procedures

- (1) The Surveillance Department shall be informed prior to the opening or closing of a gambling table and the Surveillance Department shall record the time, date and table details in the Surveillance Electronic Occurrence Book.
- (2) The Dealer, Inspector and Pit Boss shall verify the table game opening and closing values and attest to the accuracy thereof on a table opening and closing document.
- (3) A copy of the closing document shall be retained in the table game area for verification of the next day's opening float value and the original shall be deposited in the table drop box or shall be sealed in a container and transported to the count room by the clearance team.
- (4) If a discrepancy exists between the opening value and the previous day's closing value, the Surveillance Department shall immediately be informed upon discovery of the discrepancy.
- (5) The opening and closing values shall be recorded on the table opening and closing document at least once every 24 hours.
- (6) The table game float shall be secured at all times that the table game is not open for game play in such a manner as to prevent unauthorised access thereto.

## 5.4 Table Fill and Credit

- (1) The Surveillance Department shall be notified prior to any fill or credit transaction and record the time, date and table details of every such transaction in the Surveillance Electronic Occurrence Book.

- (2) Fills or credits between tables are prohibited.
- (3) Chips and plaques, other than gratuities, shall be deposited on, or removed from a gambling table only when accompanied by the appropriate fill or credit documents.
- (4) The original and a copy of the fill and credit document shall be delivered to the gambling table and after the signatures contemplated in this Rule have been obtained –
  - (a) the original document shall be deposited into the table drop box by the Dealer, and
  - (b) the copy shall be returned to the Cash Desk.
- (5) Each fill or credit shall be broken down on the gambling table by a Dealer and the fill or credit document shall be verified and signed by the following individuals attesting to the accuracy of the information on the fill or credit document –
  - (a) the Dealer who receives the fill at the gambling table or prepares the credit on the table;
  - (b) the Inspector who verifies the value of the fill or credit at the gambling table;
  - (c) the Pit Boss who supervises the fill or credit transaction, and
  - (d) the Cashier who prepares the fill or receives the credit at the Cash Desk.
- (6) Fills shall be accepted into the table float only by a Dealer, who shall verify the amount received against the fill document before placing it into the table float.
- (7) The value of each table fill or credit shall be captured on the table game information system.
- (8) Casino Administration shall verify the electronic record against the original document issued on the casino floor.
- (9) If a table fill or credit is issued in error to a table game, a contra fill or credit shall be completed during the same gaming day to compensate for the error.

#### **5.5 Non-value Chips**

- (1) Unless specifically approved by the Board for competition or tournament purposes, a non-value gaming chip shall be used on a roulette table only.
- (2) No patron at a roulette table shall be issued or permitted to wager with non-value gaming chips that are identical in design to non-value or value chips being used by another patron at the same table.
- (3) Each roulette table shall be issued with non-value chips which are unique to that table.
- (4) The value allocated to each set of non-value chips shall be conspicuously displayed at the gaming table
- (5) If a non-value gaming chip is issued for play at a value higher than the table minimum, the Surveillance Department shall immediately be informed and record such in the Surveillance Electronic Occurrence Book.
- (6) Non-value gaming chips shall be redeemed only at the table at which they were issued.
- (7) Non-value gaming chips may be redeemed only for value chips at the gambling table.

#### **5.6 Recording of estimated drop**

- (1) The table game drop shall, upon deposit thereof in the table drop box, be recorded on an electronic table game information system by a table game employee.

**5.7 Gratuities**

- (1) Gratuities shall be exchanged for value chips prior to being deposited into a table drop box.

**5.8 Table game payout form**

- (1) When a winning bet or part thereof is not paid out from the table float, the licence holder shall utilise the table payout form, referred to in these Rules, for the portion paid from the Cash Desk.

**5.9 Announced Bets**

- (1) A licence holder shall not offer or accept any announced bets.

**5.10 Securing of Roulette Wheels**

- (1) During non-operating hours, or while a roulette table is closed, the bowl and the turret of the roulette wheel shall be secured in a manner to prevent any unauthorised access thereto.
- (2) The seals or keys of the locks used for the purpose of securing the roulette wheel shall be recorded in either a seal or key control register and all entries in such register shall be signed by a representative of the Gambling Security Department and a Pit Boss.

**5.11 Maintenance of gambling and related devices**

- (1) The licence holder shall, on a monthly basis perform routine maintenance and on a six-monthly basis perform comprehensive maintenance according to the manufacturer's specifications on roulette wheels and card shufflers to ensure that they are maintained in a proper working condition.
- (2) The licence holder shall keep a maintenance register, referred to in the Rules, and record the maintenance performed on the gambling and related devices.
- (3) Monthly and six-monthly servicing of roulette wheels and card shufflers shall be carried out by properly trained personnel in accordance with the specifications of the manufacturer.
- (4) Monthly, the licence holder shall ensure that all operational roulette wheels are level.
- (5) If a wheel is removed from the roulette table and replaced –
- (a) the number of the new roulette wheel must be recorded in the maintenance logbook in respect of that table, and
  - (b) the new roulette wheel must be properly levelled and tested

before a gambling game may be conducted on that table.

**CHAPTER VI**  
**ELECTRONIC MONITORING SYSTEM ("EMS") AND**  
**SERVER BASED GAMING SYSTEMS ("SBGS")**

**6.1 General**

- (1) The EMS including SBGS, where applicable, refers to all hardware and software utilised for communication between slot machines, terminals and electronic table games and the EMS file server for the storage of gambling-related information and includes the following equipment –
- (a) cabling from all gambling devices to the file servers;
  - (b) Communication Interfaces;
  - (c) front end processors;
  - (d) floor servers;
  - (e) gaming device managers;
  - (f) patch panels;
  - (g) table game information systems;
  - (h) jackpot controllers and engines, and
  - (i) file servers.

**6.2 EMS general requirements**

- (1) A licence holder shall implement and maintain an on-line EMS which shall provide for –
- (a) compliance with all current national norms and standards and ensure accurate logging, searching and reporting of occurrences pertaining to slot machines, SBGS terminals, electronic poker table games and table game betting stations, where applicable, including –
    - (i) power on and off;
    - (ii) connection or break-in connection with the EMS;
    - (iii) authorised and unauthorised machine, drop box cabinet and canister door open and close;
    - (iv) logic area open and close when the power is switched off;
    - (v) the identification of employees gaining access to any slot machine and table game betting stations;
    - (vi) invalid service or key cards;
    - (vii) hopper empty;
    - (viii) jackpot and accumulated credit won and the value thereof;
    - (ix) progressive jackpot won and the value thereof; where applicable;
    - (x) coins paid out while door open, and
    - (xi) coin jam;
  - (b) the collection of financial data in respect of individual gambling devices;
  - (c) the accurate collection of data in respect of individual slot machines, SBGS terminals or gambling table betting stations, including, at a minimum, the information prescribed in these Rules;
  - (d) the reconciliation of soft meter data against the count figures;
  - (e) the collection of soft meter data, which must be performed via a secure link to the slot machine, SBGS terminals and table game betting station software;
  - (f) a selectable report, reflecting the actual hold percentage of each slot machine or SBGS games computed on a month-to-date and year-to-date basis;
  - (g) system security, including, at a minimum, the registering of all manual inputs to the EMS reflecting the identity of the employee performing the input and authorising the input, the prevention of unauthorised access thereto and providing an audit trail reflecting the changes made, and
  - (h) such other requirements as may be determined or approved by the Board.

- (2) The EMS must have sufficient capacity to efficiently and continuously monitor, log and control all slot machines, SBGS terminals and table game betting stations in the manner prescribed in this Rule.
- (3) All information referred to in this Rule shall be retained for a period of six months, provided that all tax-related slot machine, SBGS terminals and table game betting station information shall be retained for a period of five years.
- (4) The EMS shall not allow for the alteration of any records without a full audit trail of such alterations, unless otherwise approved by the Board.

### 6.3 Table game information system

- (1) The licence holder shall implement and maintain an electronic table game information system for the purpose of recording and storing table game financial information including, without limitation, unless otherwise approved by the Board –
  - (a) table game opening and closing float values;
  - (b) table game fill and credit values;
  - (c) table game theoretical or estimated drop values, and
  - (d) the value of documents used to purchase chips.

### 6.4 Sever Based Gaming Systems

- (1) The licence holder shall implement and maintain an approved SBGS, where applicable, for the purpose of storing and downloading electronic games and information to and from SBGS terminals.
  - (2) Minimum requirements for an SBGS shall include, without limitation –
    - (a) servers containing game information shall be installed on the licensed premises;
    - (b) the SBGS servers shall be secured in the IT Room to prevent any unauthorised access thereto;
    - (c) game downloads to the server will only be performed by duly authorised personnel in terms of the operator's ICS;
    - (d) no manufacturers will have direct logical access thereto;
    - (e) downloads to the server will not affect game play on any other terminals;
    - (f) the manner in which game information is downloaded shall be secure to ensure that no alterations, modifications or any errors occur;
    - (g) verification of downloadable game information shall be documented and approved by the Slot Machine and Casino Administration Departments, and
    - (h) any changes to critical data shall be evident and easily accessible for verification purposes.
  - (3) The licence holder shall on a six monthly basis, test the SBGS to verify that there are no alterations, modifications or any errors on the system.
  - (4) The results of these tests, including any remedial steps taken, shall be documented and signed by the employees involved in the tests.
  - (5) The test documentation shall be retained for a period of at least two years, for inspection by the Board.
  - (6) Notwithstanding the provisions of this Rule, the Board may approve different requirements and provisions in respect of SBGS, upon demonstration by the licence holder to the satisfaction of the Board that there are sufficient controls in place to ensure the integrity and validity of the system and reports.
- ### 6.5 EMS, SBGS and table game information system malfunctions, alterations, upgrades and maintenance
- (1) A licence holder shall maintain a detailed register of all malfunctions, alterations, upgrades and maintenance performed on the EMS.
  - (2) A licence holder which proposes to upgrade, alter or amend its approved EMS or table game information system or do anything that will alter the approved EMS or table game information system, shall submit the documentation in the format determined or



approved by the Board, and shall not affect any such upgrade, alteration or amendment prior to receiving the written approval of the Board.

- (3) When installing or modifying a slot machine, SBGS terminal, electronic poker table game or table game betting station on the casino floor, the Slot Machine and Surveillance Departments shall ensure that the EMS and surveillance systems record all soft meters and significant events required to be recorded in terms of the Act before any gambling activity takes place on the gambling device.
- (4) The Slot Machine Department shall perform tests to ensure that the components of the gambling devices are set-up properly including, coin or token acceptance, bill acceptance, denomination settings, reel strip alignment, payout tests and software validation and such other components as the Board may specify, before any gambling activity takes place on the gambling device.
- (5) The Slot Machine and Surveillance Departments shall –
  - (a) document the results of the tests conducted in terms of this Rule in the format determined or approved by the Board, and
  - (b) maintain the significant event and meter test sheets and corresponding EMS reports as evidence of the test results for on-site inspection by the Board.
- (6) When an EMS upgrade is performed, the Slot Machine and Surveillance Departments shall perform significant event and meter tests on at least all the different types of communication software installed in slot machines, SBGS terminal, electronic poker table game and table game betting stations on the casino floor.
- (7) A slot machine, SBGS terminal, electronic poker table game and table game betting station may not be exposed for play before the tests referred to in this Rule, have been completed successfully.
- (8) In the event of an EMS malfunction which affects the monitoring and logging of any slot machine, SBGS terminal, electronic poker table game or table game betting station activity required to be logged and controlled in terms of the Act, the licence holder shall immediately notify the Surveillance Department of such malfunction.
- (9) Each EMS malfunction shall be repaired within 24 hours of the occurrence thereof.
- (10) When the EMS malfunction cannot be repaired within 24 hours, the licence holder shall immediately submit a written report to the Board setting forth the reason for the delay in repair.
- (11) The Board may in its discretion order that all slot machine, SBGS terminal, electronic poker table game and table game activity affected by a malfunction contemplated in this Rule be suspended pending repair.
- (12) Maintenance on the EMS, table game information system and related equipment shall be performed by appropriately trained personnel only.

**CHAPTER VII**  
**CASINO ACCOUNTING DEPARTMENT**

**7.1 ICS**

(1) At a minimum, a licence holder's Casino Accounting Department ICS shall contain provisions and procedures relating to –

(a) In relation to the Cash Desk –

(i) Patron Cheque or Cashing facility policies, including –

- (aa) the applicable criteria in respect thereof;
- (bb) limits in respect of facilities to be made available to patrons;
- (cc) levels of access to patron facility information, and
- (dd) the requirements of the approval committee;

(ii) the storage and securing of manual value stationery;

(iii) clean hand procedure;

(iv) hopper fills, including the issue, redemption, transportation and verification thereof;

(v) slot short redemption, including computerised systems used, manual slot short procedures, signing limits and verification procedures;

(vi) batch payments, where applicable, including authorisation and verification procedures;

(vii) purse clear and patron card adjustments, where applicable;

(viii) the exchange of cash and other value instruments;

(ix) unclaimed credits and slot shorts, including the management, control and recording thereof;

(x) table opening and closing, including the method of securing table floats, where applicable;

(xi) table fills and credits, including authorisation, issue and verification procedures;

(xii) the management of documents used to purchase chips, including markers, ingenico slips, chip purchase vouchers, non-redeemable vouchers and promotional vouchers where such form part of gambling revenue;

(xiii) the purpose of promotional chips and conditions applicable in respect of the use;

(xiv) table progressive jackpot payouts, where applicable;

(xv) the resolution of patron disputes;

(xvi) the management of "testing money";

(xvii) daily reconciliation of gambling cash dispensing machines;

(xviii) the daily distribution of value stationery to Casino Administration;

(xix) slot machine hard, slot machine bill and table soft count buys, and

(xx) emergency clearances and counts, where applicable.

(b) In respect of clearance and count procedures –

(i) key controls for keys utilised for the clearance and count processes;

(ii) slot machine hard clearance;

(iii) slot machine bill clearance;

(iv) table soft clearance;

(v) the responsibilities of each employee involved in the relevant clearances;

(vi) procedures for recording of spillage during clearance;

(vii) slot machine hard count;

(viii) slot machine bill count;

(ix) table soft count, including –

(aa) the recording of cash drop;

(bb) documents used to purchase chips;

(cc) Table Game Dispute Payout Sheets;

(dd) Table Game Progressive Payout Forms;

(ee) table game fills and credit values, and

(ff) table game opening and closing values;

- (x) the responsibilities of each employee involved in the relevant counts;
  - (xi) management of counterfeit and ink-stained bank notes;
  - (xii) procedures to be followed when the regular clearance and count teams are not performing the clearance and count processes, including emergency clearances and counts;
  - (xiii) reporting of count variances and variances between actual and estimated drop;
  - (xiv) transfer of value items during and after the count process;
  - (xv) break provisions during the count;
  - (xvi) scale testing and calibration;
  - (xvii) the circumstances under which an emergency clearance or count may be performed;
  - (xviii) manual count procedures, and
  - (xix) evacuation procedures during clearances and counts; including securing of uncounted drop.
- (c) In respect of Casino Administration –
- (i) the calculation and compilation of the monthly Gaming Revenue Report;
  - (ii) value and controlled stationery controls, including provisions for –
    - (aa) the ordering thereof;
    - (bb) the receipt thereof;
    - (cc) the reconciliation thereof;
    - (dd) the comparison of a signature listing to signatures on the value documents;
    - (ee) the method of checking for completeness and accuracy, and
    - (ff) the method of filing of all value stationery;
  - (iii) the verification and reconciliation of source documentation, spreadsheets and electronic reports used to calculate table game and slot machine gambling revenue as to ensure the integrity and accuracy thereof;
  - (iv) the control of LAP and WAP progressive jackpots, including provision for –
    - (aa) the verification of the progressive jackpots;
    - (bb) the reconciliation of the progressive jackpots;
    - (cc) the payment and withdrawal from the WAP provisions account, and
    - (dd) the cessation or transfer of any progressive jackpots;
  - (v) the management of opening and closing hopper fills;
  - (vi) accounting and reconciliation in respect of management decisions;
  - (vii) the reconciliation and correction of RAM clears, slot machine meter violations and meter wraps;
  - (viii) slot machine hopper reconciliation;
  - (ix) the reconciliation of the unclaimed credit and slot short register;
  - (x) slot machine movements, including updates to the EMS;
  - (xi) changes to information on the EMS or gambling-related systems database, including provision for audit trails in respect thereof;
  - (xii) other value instruments, including the reconciliation thereof;
  - (xiii) the reconciliation and administration of testing money documents and accounts;
  - (xiv) investigation of variances, including –
    - (aa) count variances;
    - (bb) table estimated drop to actual drop;
    - (cc) slot machine bill and hard actual drop to metered drop, and
    - (dd) slot short and jackpot meter variances;
  - (xv) verification that –
    - (aa) access to gambling-related software by the relevant heads of department was duly authorised, and
    - (bb) employees were given the correct user-access-rights.

## 7.2 Casino Accounting Department

- (1) The Casino Accounting Department shall –
- (a) develop, implement and review financial controls;
  - (b) prepare and control financial records and data;
  - (c) store financial records;
  - (d) reconcile gambling revenue on a monthly basis;
  - (e) account for and reconcile all forms used in the operation of the casino;
  - (f) verify the integrity and validity of all financial documents and information;
  - (g) prepare all financial and management reports;
  - (h) be responsible for the slot machine hard clearance and count;
  - (i) be responsible for the table game soft and slot machine bill clearances and counts;
  - (j) be responsible for the emergency clearance and count procedures, and
  - (k) be responsible for the Cash Desk operation.

## 7.3 Casino Administration

- (1) Casino Administration shall be independent of all the gambling departments.
- (2) Casino Administration shall be accountable for maintaining an up-to-date signature listing of all gambling-related employees.
- (3) A representative of Casino Administration shall be present upon the receipt, storage and entering into the relevant registers of all value and controlled stationery.
- (4) Casino Administration shall ensure that all value stationery is checked on a daily basis for completeness and that no unauthorised alterations have been effected thereto.
- (5) Casino Administration shall ensure that all management decision values are accurately accounted for.

## 7.4 Changes to information on the EMS and gambling-related database

- (1) Casino Administration shall be accountable for all changes made to information on the EMS, table game information system or gambling-related system database.
- (2) All changes to information on the EMS and gambling-related database shall be recorded on the audit trail printout.
- (3) A duly authorised representative of the department to which any change of information on the database relates, shall, within forty-eight hours of such change, verify that such change was correctly performed and bears the signatures of a representative of Casino Administration and the authorised representative of the Department affected by the change on the audit trail printout.
- (4) All audit trail printouts made relating to changes made to information contained in the EMS and gambling-related database shall be safely kept for a period of 5 years.

## 7.5 Commissioning and Decommissioning Progressive Jackpot procedures

- (1) Progressive jackpots may not be decommissioned without the approval of the Board.
- (2) Incremental values of a progressive jackpot being decommissioned must be transferred to another jackpot within ten (10) working days unless otherwise approved by the Board.
- (3) The Board must be notified within 24 hours of the distribution of the incremental value of the decommissioned progressive jackpot.

## 7.6 Table game and slot machine clearance procedures

- (1) All drop boxes, buckets or canisters shall be clearly marked to identify the specific gambling table or slot machine from which a clearance has been made.
- (2) All drop boxes shall be cleared from the gambling tables at least once every 24 hours regardless of whether the tables were opened for play.
- (3) All canisters shall be cleared from the slot machines at least once every 24 hours.
- (4) A clearance team shall consist of at least two licensed employees of the licence holder from different departments, one of whom shall be a representative of the Gambling Security Department.
- (5) The Clearance Supervisor shall sign out all drop box, slot machine drop box, canister release, trolley, storage rack or other keys used in the clearance process from the Gambling Security Department. The representative of the Gambling Security Department accompanying the clearance shall sign as witness to this transaction.
- (6) The representative of the Gambling Security Department shall notify the Surveillance Department prior to signing out the clearance keys.
- (7) The Surveillance Department shall be informed of the functions to be performed by each member of the clearance team and their names prior or during the commencement of the clearance.
- (8) The Surveillance Department shall observe, monitor and record the entire table game clearance process.
- (9) All drop boxes, buckets or canisters removed from gambling tables or slot machines shall immediately be secured in a trolley for transportation.
- (10) Tables and slot machines shall be cleared and the trolleys shall be moved in a manner which ensures that the opened slot machines, the removed drop boxes, buckets or canisters and the trolleys are at all times in full view of the surveillance cameras.
- (11) The trolleys containing the removed drop boxes, buckets or canisters shall immediately be locked after the clearance and transferred to the relevant count room, secured storeroom or a secured area approved by the Board.
- (12) The removed drop boxes, buckets or canisters shall be secured in a manner approved by the Board.
- (13) The Surveillance Department shall continuously monitor and record all removed drop boxes, buckets and canisters containing uncounted drop.
- (14) The storeroom or secured area referred to in this Rule shall have solidly constructed floors, walls and ceilings and shall have no exterior windows.
- (15) Access to the storeroom or secured area referred to in this Rule shall, unless the Board approves otherwise, be limited to members of the count and clearance teams or to individuals authorised thereto in terms of the licence holder's ICS only.

## 7.7 Count Rooms

- (1) Unless the Board approves otherwise, the hard and soft count rooms shall be separate secured rooms used exclusively for the storage of drop boxes, buckets or canisters and to count the hard and soft drop proceeds.
- (2) Each count room shall have –
  - (a) a steel-lined door that can be secured from the inside of the count room;
  - (b) a facility enabling persons in the count room to view the area directly outside the count room door;
  - (c) solidly constructed floors, walls and ceilings and no exterior windows;

- (d) an internal telephone within easy reach of the Count Supervisor;
  - (e) continuous lighting, arranged in such a manner as to ensure that no reflections or glare obstruct the views of any of the surveillance cameras;
  - (f) an emergency lighting system which shall immediately be activated in the event of a power cut, and shall have the capacity to operate continuously for at least eight hours;
  - (g) no shelves or objects on, above or below the working surfaces that might obstruct the view of the Count Supervisor or the surveillance cameras of the contents of the working surfaces or the room or any employee therein;
  - (h) the interior walls of which the upper half shall be mirrored, and
  - (i) a transparent table with a transparent partition to separate counted cash and chips from uncounted cash and chips.
- (3) Access to the count rooms shall be limited to members of the count and clearance teams or to individuals authorised thereto in terms of the licence holder's ICS only, unless the Board approves otherwise.
- (4) A count team shall consist of at least three licensed employees of the licence holder who shall be present throughout the entire count process, one of whom shall be a Count Supervisor.
- (5) No equipment or items other than equipment or an item utilised during the count process shall be permitted in the count room.
- (6) The Surveillance Department shall be informed prior to any person accessing or exiting the count room or any storage area where uncounted drop is secured and shall record identification details of such person in the Surveillance Electronic Occurrence Book.
- (7) The Surveillance Department shall observe, monitor and record the entire table soft count.
- (8) The Count Supervisor shall sign out and return the count room and other keys necessary to perform the counts.
- (9) The keys to the count rooms and other keys necessary to perform the counts shall be kept by the Count Supervisor or duly authorised person. The keys shall be visible at all times during the count process.
- (10) Prior to the count, the slot machine canister and table drop box contents keys shall remain sealed in an envlo bag and shall be –
- (a) opened in the count room, only once the count commences, and
  - (b) sealed in the count room when the count process is finalised.
- (11) Before the start of a count, the door to the count room shall be locked from the inside.
- (12) The count room keys and other keys used during the count process shall, immediately after the count, be returned to the Gambling Security Department.
- (13) During the count, the door to the count room shall be opened only upon request by a person authorised to enter or leave the count room and only after the Surveillance Department has been notified.
- (14) No person shall enter or leave the count room, or open the count room door, at any time during the count process until all monies, chips, tokens and gambling-related documentation contained in or retrieved from opened drop boxes, buckets or canisters have been counted, verified and accepted into the Cash Desk or have been secured to prevent any unauthorised access thereto, unless otherwise approved by the Board.
- (15) Gratuities shall be accounted for separately from any other count proceeds.
- (16) Slugs found in slot machine drop buckets, hoppers, slot machine canisters and table game drop boxes, shall be counted as gambling revenue.
- (17) Token and coin slugs found in a slot machine shall carry the value of the denomination of the relevant slot machine.
- (18) Counterfeit and ink-stained notes shall carry the value accepted by a gambling device or table game employee for the purposes of play.

(19) Slugs shall be separately accounted for on the respective count sheets.

#### 7.8 Table game soft count

- (1) The soft count in respect of table games shall not be performed simultaneously in the same room with the count of any other revenue.
- (2) The employees performing the count shall have no incompatible functions and shall be independent of –
- (a) the Table Game Department, and
  - (b) the employees subsequently accountable for the table game soft count proceeds.
- (3) Prior to the commencement of the table soft count, at least two employees shall verify the accuracy of the note counters to be utilised during the count with varying bill denominations to ensure that the note counters are properly calibrated.
- (4) The Surveillance Department shall be notified prior to the conduct of the calibration tests contemplated in this Rule.
- (5) Drop boxes shall be individually emptied, counted and recorded separately on the count documentation.
- (6) No more than one drop box may be opened and the content thereof counted at any one time.
- (7) The Surveillance Department shall observe, monitor and record the entire table soft count.
- (8) Prior to opening any drop box, the number of such drop box shall be shown and announced to the Count Supervisor and the surveillance cameras.
- (9) After emptying a drop box, the empty drop box shall be identified and shall be shown to the Count Supervisor and to the surveillance cameras and shall then be locked.
- (10) Fill and credit values shall be recorded on the count sheet.
- (11) Plaques and copies of the documents used to purchase chips removed from the drop boxes shall be either –
- (a) recorded on the count sheet by the count team, or
  - (b) if a computerised system is used, totalled and traced to the totals documented by the system.
- (12) The opening and closing tablevalues, shall be either –
- (a) recorded on the count sheet by the count team, or
  - (b) if a computerised system is used, totalled and traced to the totals documented by the system.
- (13) The total count recorded on the count sheets shall be reconciled with the total drop removed from the table drop boxes by the Count Supervisor.
- (14) Upon completion of the table game soft count, the Count Supervisor, the accepting Cash Desk representative and a representative of Casino Administration, who shall be independent of the count team and the Cash Desk, shall count the final table game soft count proceeds and attest to the accuracy thereof.
- (15) If a discrepancy exists between the counts referred to in sub-rule (13) and (14) a re-count shall be performed and any differences shall be reconciled. The results of such count shall be documented and retained for Board inspection.
- (16) If the count contemplated in sub-rule (15) does not resolve a variance, contemplated therein, the Surveillance Department shall be informed, shall investigate the variance, document and retain the results of such investigation for Board inspection.
- (17) The Count Supervisor and the Gambling Security representative shall ensure that all drop boxes are locked after they have been emptied.

- (18) Immediately after the conclusion of the count, the Count Supervisor shall deliver the count sheets and all supporting documentation to Casino Administration or place them in a locked container to which only personnel of Casino Administration shall have access.

#### **7.9 Slot machine hard count**

- (1) The hard count in respect of slot machines shall not be performed simultaneously in the same room with the count of any other revenue.
- (2) For the purposes of this Rule count or counting shall include weigh or weighing and wrap or wrapping shall include bag or bagging and rack or racking.
- (3) The employees performing the hard count shall have no incompatible functions and the count team shall be independent of –
- (a) the Slot Machine Department, and
  - (b) any employees subsequently accountable for the slot machine hard count proceeds.
- (4) Prior to the commencement of the hard count, at least two employees shall verify the accuracy of the weigh scale and coin counters by testing them with varying amounts of previously counted coins or tokens in respect of each denomination, so as to ensure that the scales and counters are properly calibrated.
- (5) The Surveillance Department shall be notified prior to the conduct of the calibration tests contemplated in this Rule.
- (6) Slot machine hard drop proceeds shall be counted and reconciled in a manner that precludes the mixing of the drop proceeds of one slot machine with the drop proceeds from any other slot machine.
- (7) After emptying a bucket, the empty bucket and the slot machine number shall be shown and announced to the Count Supervisor and the surveillance cameras.
- (8) The amount of the hard drop proceeds from each slot machine shall be recorded separately on the count documentation.
- (9) If a weigh scale interface is used, the slot machine count figures shall be transferred and recorded via direct line or computer storage media.
- (10) Upon completion of the count of the slot machine hard count proceeds the Count Supervisor, the accepting Cash Desk representative and a representative of Casino Administration, who shall be independent of the count team and the Cash Desk, shall count the final counted slot machine hard count proceeds and attest to the accuracy thereof.
- (11) If a discrepancy exists between the counts referred to in sub-rule (6) and (10), a re-count shall be performed and any differences shall be reconciled. The results of such count shall be documented and retained for Board inspection.
- (12) If the count contemplated in sub-rule (11) does not resolve a variance, contemplated therein, the Surveillance Department shall be informed, shall investigate the variance, document and retain the results of such investigation for Board inspection.
- (13) Immediately after the conclusion of the count, the Count Supervisor shall deliver the count sheets and all supporting documentation to Casino Administration or place them in a locked container to which only personnel of Casino Administration shall have access.

#### **7.10 Slot machine soft count**

- (1) All the provisions pertaining to the table soft count shall, with the necessary changes, apply to the slot machine soft count.
- (2) The employees performing the slot machine soft count shall have no incompatible functions and the count team shall be independent of –



- (a) the Slot Machine Department, and
- (b) any employees subsequently accountable for slot machine soft count proceeds.

(3) The Count Supervisor and the Gambling Security representative shall ensure that canisters are locked after they have been emptied.

#### **7.11 Transfer of value items during a count**

(1) The transfer of value items out of a count room shall occur only if the transfer is recorded on a separate pre-numbered, multi-part document, used solely for count transfers.

(2) The Count Supervisor, one other member of the count team and a representative of Casino Administration, or such other employee who is independent of the count process and shall be responsible for authorising the transfer shall, subsequent to the count process, reconcile the count proceeds and attest to accuracy of the document referred to in this Rule.

(3) The Surveillance Department shall be notified prior to a transfer contemplated in this Rule and shall –

- (a) monitor and record the transfer;
- (b) record the particulars of the employees participating in the transfer, and
- (c) record the date and time of the transfer in the Surveillance Electronic Occurrence Book.

#### **7.12 Emergency clearance and count procedures**

(1) All the provisions pertaining to clearance and count procedures shall, with the necessary changes, apply to emergency clearances and counts.

(2) The employees performing the counts shall have no incompatible functions and the count team shall be independent of –

- (a) the proceeds being counted, and
- (b) any employees subsequently accountable for the count proceeds.

(3) The emergency count figures in respect of each drop box, bill canister and bucket shall be individually recorded on a separate count sheet and signed by the employees performing such emergency count.

#### **7.13 Slot machine accounting and auditing**

(1) The employees performing slot machine accounting and auditing functions shall be independent of those employees involved in or responsible for authorising the transactions being reviewed and shall have no incompatible functions.

(2) Casino Accounting shall on a monthly basis compare slot machine source documents, count documentation and the EMS reports used for calculating taxable revenue with the tax return to verify the accuracy thereof.

(3) A daily reconciliation shall be prepared in respect of the day, month and year-to-date and shall include the following –

- (a) drop per slot machine;
- (b) winnings paid per slot machine, including hopper fills;
- (c) win per slot machine, and
- (d) total adjusted gross revenue.

(4) All slot machine auditing procedures and any follow-up actions performed shall be documented and retained for Board inspection.

(5) Casino Administration shall be accountable for the reviewing of the bill, coin drop, jackpot, accumulated credit win, patron card-in and patron card-out meter readings for exceptions and suspicious meter movements on a monthly basis, using pre-established and documented parameters and the tolerance levels set in the EMS.

- (6) If the RTP%, including any contribution towards a progressive jackpot, of a slot machine, including each game offered on a multi-game slot machine, taken over a continuous 12 month period, falls below 85%, the licence holder shall investigate such occurrence and document and retain the results of such investigation and the remedial steps taken, if any, for Board inspection.
- (7) Any change to a slot machine's theoretical hold percentage shall result in such slot machine being treated as a different slot machine for purposes of preparing statistical reports, so that various hold percentages shall not be reflected in respect of one slot machine.
- (8) The value of a supplementary prize shall not be taken into account for the purposes of determining the RTP% of any slot machine.

#### **7.14 Table game accounting and auditing**

- (1) The employees performing table game accounting and auditing functions shall be independent of those employees involved in or responsible for authorising the transactions being reviewed and shall have no incompatible functions.
- (2) A daily reconciliation shall be prepared in respect of the day, month and year-to-date and shall include the following information –
  - (a) drop per table;
  - (b) win per table, and
  - (c) total adjusted gross revenue.
- (3) Casino Administration shall, on a monthly basis, compare table game source documents, count documentation and the EMS and table game information system reports, including gambling-related system reports, used for calculating taxable revenue with the tax return to verify the accuracy thereof.
- (4) Any improper transactions or unusual occurrences discovered during the review contemplated in this Rule shall be investigated and the results documented and retained for Board inspection.

#### **7.15 Hopper Reconciliation**

- (1) The Casino Accounting Department shall be accountable for the performance of monthly hopper reconciliation on all slot machines.
- (2) The contents of the hopper shall be counted or weighed and compared to the EMS theoretical hopper contents value generated by the EMS.
- (3) In the event that the variance between the values, contemplated in this Rule, is greater than R500-00, the Surveillance Department shall investigate the variance and document and retain the results for Board inspection.
- (4) The total number of tokens counted per slot machine hopper shall be recorded and signed by an employee from the Casino Accounting Department.

#### **7.16 Slot short redemption**

- (1) Slot shorts shall be redeemed at the Cash Desk only.
- (2) The Cashier redeeming the slot short shall verify that all the relevant detail that is required to be recorded on the slot short has been completed thereon and that the appropriate employees have signed the document.
- (3) Only the patron to whom a slot short is issued may redeem such slot short.

- (4) Notwithstanding the provisions of this Rule, where a licence holder utilises a computerised system and electronic identification protocols, the Board may approve different requirements and provisions in respect of slot short redemption, upon demonstration by the licence holder to the satisfaction of the Board that there are sufficient controls in place to ensure the integrity of the redemption process.

#### **7.17 Patron Cheque or Cashing Facility**

- (1) Before a cheque or cashing facility may be granted to a patron, the patron shall sign a document authorising the licence holder to conduct such investigation as it may deem necessary to verify the accuracy of the information supplied by him or her or to establish his or her creditworthiness and identity.
- (2) The approval of a cheque or cashing facility, the limits in respect thereof and any subsequent changes thereto shall be considered by a committee or such other body as is specified in the licence holder's ICS and approved by the Board.
- (3) The committee shall consist of key employees of the licence holder; provided that less than one half of the members may represent gambling departments and at least one member shall represent the Cash Desk.
- (4) Prior to setting a cheque or cashing limit, a licence holder shall take the necessary steps to establish the patron's creditworthiness, which shall at a minimum include the acquisition of a bank reference in respect of such patron.
- (5) A patron shall have access to his or her own player tracking and other cheque or cashing facility information, according to the procedures prescribed in the licensed operators ICS.
- (6) Where applicable, the licence holder shall record in a patron's cheque or cashing file a detailed motivation for writing-off the whole or any part of such patron's debt, including the steps taken to collect such outstanding debt.
- (7) Access to a patron's cheque or cashing facility information shall be restricted to persons who require access by virtue of their job function and who are authorised thereto in terms of the licence holder's ICS.

#### **7.18 Chip Design**

- (1) Before taking delivery of any gaming chips, a licence holder shall submit to the Board for its approval, a full colour drawing to scale of the design detail, diameter and measurements of such gaming chip, including the purpose of such chips.
- (2) The licence holder may purchase chips only from a distributor or manufacturer licensed by the Board.
- (3) A licence holder shall not manufacture or cause to be manufactured any gaming chips for use in its casino unless the design thereof has been approved by the Board.
- (4) Each gaming chip must be designed and made so that, when such chip is stacked with gaming chips of other denominations, and viewed on the surveillance system, such is clearly distinguishable from gaming chips of other denominations in the stack.
- (5) With the exception of non-value gaming chips, all other gaming chips shall clearly reflect the trading name of the licence holder.
- (6) Representatives of the Cash Desk, Casino Administration and Gaming Security shall be present upon the receipt of gaming chips.
- (7) The receipt and inventory in respect of gaming chips shall take place under camera coverage.

#### **7.19 Value Chips**

- (1) Every value chip shall be designed in such a way that –
- (a) the value of such chip is clearly reflected on both sides thereof;
  - (b) the colour used as the primary colour for any chip between the value of R20.00 and R10,000.00 will be selected from the range of colours listed in Table 1 below, and

- (c) where a licence holder uses a reserve set of such chips, the chips in the reserve set shall have primary colours which do not in any way resemble the primary colours allocated to the main set of chips of a corresponding value.

#### **7.20 Non-Value Chips**

- (1) Each set of non-value gaming chips used on a particular table, shall be designed in such a way as to be easily distinguishable from all other non-value gaming chips used on any other gaming tables and all other gaming chips used in the casino.
- (2) Unless specifically approved by the Board for competition or tournament purposes, a non-value gaming chip shall be used on a roulette table only.
- (3) No patron at a roulette table shall be issued or permitted to wager with non-value gaming chips that are identical in design to non-value or value chips being used by another patron at the same table.
- (4) If a non-value gaming chip is issued for play at a value higher than the table minimum, the Surveillance Department shall immediately be informed.
- (5) Non-value gaming chips shall be redeemed only at the table at which they were issued.
- (6) Non-value gaming chips may be redeemed only for value chips at the gambling table.

#### **7.21 Plaques**

- (1) If a licence holder uses a plaque with an equal denomination to a value gaming chip, the primary colour of the plaque shall be identical to the primary colour of the gaming chip of the corresponding value.

#### **7.22 Special use gaming chips**

- (1) Special use gaming chips shall include non-negotiable chips, promotional chips and other gaming chips not contemplated in the Rules, and –
- (a) may deviate from the colour requirements of Table 1;
- (b) shall be designed in such a manner as to be clearly distinguishable from any other gaming chips used by the licence holder, and
- (c) shall clearly bear the inscription “non-negotiable”, “NN” “no cash value” or some similar indication of the limited negotiability of the chip on at least one side thereof.
- (2) Prior to the use thereof, a licence holder shall submit for approval by the Board, provisions relating to the issue, use and restrictions applicable in respect of special use gaming chips.

#### **7.23 Nature and exchange of gaming chips**

- (1) All wagering conducted on gambling tables, other than by means of legal tender, shall be conducted with chips approved by the Board.
- (2) A gaming chip issued to a patron by a licence holder is evidence of a debt which the licence holder owes to such patron and a licence holder shall promptly redeem its own gaming chips upon request by a patron, unless such gaming chips were obtained or are being used unlawfully.
- (3) A licence holder shall –
- (a) issue gaming chips, other than special use gaming chips, to patrons at the Cash Desk or at a gambling table only, and
- (b) redeem gaming chips at the Cash Desk only.

- (4) A licence holder shall ensure that all gaming chips that form part of a gaming table float are properly accounted for and secured in an adequate manner to prevent any unauthorised access thereto.

#### 7.24 Prescribed colours

- (1) The operator shall make use of the following main set of gaming chip denominations with the corresponding prescribed primary colours, unless otherwise approved by the Board –

Value	Colour
R 20.00	Flesh/Salmon/Pale Peach
R 25.00	Dark Blue/ Tan Brown
R 50.00	Red
R 100.00	Black
R 500.00	White
R 1 000.00	Bright Pink
R 5 000.00	Turquoise
R 10 000.00	Grape

- (2) Any other chip in the main or reserve set may not resemble the gaming chips and colours as prescribed in Table 1, unless otherwise approved by the Board.
- (3) Should more than one shade of colour be used in the main or reserve set of gaming chips, the shades used must be clearly distinguishable from any other shade in the same colour range.

#### 7.25 Other value instruments

- (1) The Board shall approve all other value instruments used to conduct gaming.
- (2) Where other value instruments are used for gaming purposes, a licence holder shall redeem such only at the Cash Desk or by means of a device located in the casino gaming area and which is continuously controlled and monitored by the Cash Desk for the express purpose of value instrument issue and redemption.
- (3) All approved value instruments legally held by a patron is evidence of a debt, which the licence holder owes to such patron and a licence holder shall promptly redeem its own value held on a patron card upon request and presentation thereof by a patron, unless such patron card values were obtained or are being used unlawfully.

#### 7.26 Token Design

- (1) Before manufacturing or causing to be manufactured any token, a licence holder shall submit to the Board for its approval, a drawing to scale of the design detail, diameter and measurements of such tokens.
- (2) The licence holder may acquire tokens –
- only from a distributor or manufacturer licensed by the Board, and
  - which have been certified as complying with the applicable national norms and standards.
- (3) A licence holder shall not manufacture or cause to be manufactured for its casino any tokens unless –
- the metals and manufacturing specifications in respect thereof have been certified as complying with the relevant national standards, and
  - such tokens comply with the design approved in respect thereof by the Board.
- (4) The trade name of the licence holder shall be reflected on at least one side of any token.
- (5) Each token shall clearly reflect the value thereof.

**7.27 Nature and exchange of tokens**

- (1) All gambling on slot machines shall be conducted with tokens approved by the Board.
- (2) Representatives of the Cash Desk, Casino Administration and Gaming Security shall be present upon the receipt of gaming tokens.
- (3) The receipt and inventory in respect of gaming tokens shall take place under camera coverage.
- (4) A token issued to a patron by a licence holder is evidence of a debt, which that licence holder owes to such patron and shall promptly redeem its own tokens upon request and presentation thereof by a patron, unless such tokens were obtained or are being used unlawfully.
- (5) A licence holder shall issue and redeem tokens only at the Cash Desk or by means of a device located in the casino gaming area and continuously controlled and monitored by the Cash Desk for the express purpose of token issue and redemption.
- (6) A licence holder shall ensure that tokens are secured in an adequate manner to prevent any unauthorised access thereto.

**7.28 Redemption of chips, tokens and other value instruments**

- (1) A casino cheque may be issued only for that portion of any redemption which the licence holder can establish to be winnings.

**CHAPTER VIII**  
**GAMBLING SECURITY DEPARTMENT**

**8.1 ICS**

- (1) At a minimum, the licence holder's Gambling Security Department ICS shall contain provisions and procedures relating to –
- (a) physical access control ensuring that no persons under the age of 18 years gain access to areas in which gambling is conducted;
  - (b) the detection of unsupervised persons under the age of twelve years within such public areas not allocated for family entertainment as may be prescribed;
  - (c) monitored key controls relating to –
    - (i) the ordering of keys;
    - (ii) the receipt of keys;
    - (iii) the issue of keys;
    - (iv) the personnel involved in any of the procedures contemplated in this sub-rule;
    - (v) the return of keys;
    - (vi) procedures in respect of key bunches;
    - (vii) procedures in respect of duplicate keys;
    - (viii) procedures in respect of lost keys;
    - (ix) dual control procedures relating to keys;
    - (x) key storage areas, and
    - (xi) the destruction of keys;
  - (d) the issuing of access control cards and the personnel access levels for the secured areas prescribed in the Rules;
  - (e) the controls for receipt, storage, issue, return and filing of value and controlled stationery;
  - (f) the controls for the issue of slot machine logic area seals, including access to the slot machine logic areas;
  - (g) slot machine hopper fills;
  - (h) the checking and recording of hopper bag and slot machine spillage;
  - (i) jackpot verification;
  - (j) slot short signing limits;
  - (k) the method and procedure to be used for the transportation of chips, other gambling and gambling-related devices and documentation which is required to be secured or sealed, including table game fill and credits;
  - (l) card and dice control, including –
    - (i) the receipt thereof;
    - (ii) the storage thereof;
    - (iii) the issue thereof;
    - (iv) return of the cards and dice from the Surveillance Department;
    - (v) the control thereof;
    - (vi) the method of accounting for all cards and dice;
    - (vii) the management of re-usable cards, and
    - (viii) the disposal of cards and dice;
  - (m) the slot machine hard, slot machine bill and table soft and emergency clearances;
  - (n) the slot machine hard, slot machine bill and table soft and emergency counts, when applicable;
  - (o) the investigation of gambling-related incidents, where applicable, and
  - (p) the resolution of patron disputes, where applicable.

**8.2 Key control standards**

- (1) The Gambling Security Department shall maintain detailed records in respect of each monitored key that is made, duplicated or destroyed, reflecting –

- (a) the type of keys made, duplicated or destroyed;
  - (b) the number of keys made, duplicated or destroyed;
  - (c) the date of such creation, duplication or destruction;
  - (d) the reasons for any destruction, where applicable, and
  - (e) the signatures of all employees involved in the creation, duplication or destruction.
- (2) A representative of the Gambling Security Department shall receive and where applicable, destroy all monitored keys referred to in this Rule and enter such key transactions into the bulk registers.
- (3) A representative of the Surveillance Department shall witness and verify the receipt and destruction of all monitored keys and attest to the accuracy of the bulk register entries.
- (4) The Gambling Security Department shall secure, issue, and control the following monitored keys–
  - (a) slot machine cabinet door keys;
  - (b) slot machine drop box cabinet keys;
  - (c) canister release keys;
  - (d) canister contents keys;
  - (e) canister storage rack keys;
  - (f) drop box release keys;
  - (g) drop box contents keys;
  - (h) drop box storage rack keys;
  - (i) table game float keys;
  - (j) clearance trolley keys;
  - (k) count room keys;
  - (l) such other keys as are required to be monitored or controlled in terms of the Act, and
  - (m) each duplicate key to the monitored keys contemplated in paragraphs 4(a) to (l) above.
- (5) All monitored keys shall be kept in a secured area in a manner approved by the Board.
- (6) Access to the designated area for monitored keys shall be limited to authorised Gambling Security personnel only; provided that duplicate keys shall be stored separately from the original keys.
- (7) The Surveillance Department shall be notified of any unscheduled access to monitored keys and all instances where duplicate keys are accessed.
- (8) The Gambling Security Department shall record the reason for the unscheduled access to monitored keys in the relevant key control registers to which it relates or the Security Department Occurrence Book.
- (9) In respect of –
  - (a) table drop box and slot machine canister release keys –
    - (i) Only employees authorised to remove drop boxes or canisters, one of whom shall be of the Gambling Security Department, shall be allowed access to the release keys.
    - (ii) Employees authorised to remove table game drop boxes or slot machine canisters shall not have access to the respective drop box or canister contents keys.
    - (iii) A representative of the Gambling Security Department shall be present for the entire period during which a table drop box or slot machine canister containing uncounted drop is removed.
    - (iv) Notwithstanding the provisions of this Rule, a Gambling Security representative may, for the duration of a shift, be issued with canister release keys which may be used only for the purposes of –
      - (aa) resolving disputes arising in respect of bills inserted into a slot machine;
      - (bb) performing routine maintenance on bill validators without accessing the canister contents, and
      - (cc) attending to malfunctions on bill canisters.



- (b) slot machine drop box cabinet keys –
- (i) Keys required to access slot machine drop box cabinets shall be safeguarded in such a manner that no fewer than two individuals acting together, one of whom shall be a representative of the Gambling Security Department, shall be in a position to access the drop box cabinet area at any time.
  - (ii) A Gambling Security representative, who is independent of the key custodian, shall accompany such keys while they are checked out and observe the procedure each time slot machine drop box cabinets are accessed.
  - (iii) The Surveillance Department shall be informed prior to any access to such keys and shall record such information in the Surveillance Electronic Occurrence Book.
- (c) table drop box and slot machine canister contents keys –
- (i) Drop box and canister contents keys shall be safeguarded in such a manner that only a representative of the Gambling Security Department shall have access to such keys.
  - (ii) Surveillance personnel shall verify that employees obtaining the keys are authorised to do so and that at least two people of different departments are present when such keys are accessed.
  - (iii) In circumstances where it is necessary to access a canister or drop box other than for the purpose of a count, the Surveillance Department shall be notified and shall observe and record the entire process. A representative of the Gambling Security Department shall be present for the entire period during which the canister is removed and accessed.
  - (iv) Notwithstanding the above, a Slot Machine Supervisor may, for the duration of a shift, be issued with a canister content key which may be used only for the purposes of resolving disputes arising in respect of bills inserted into the machine and attending to malfunctions on bill canisters.
  - (v) If a table drop box requires re-setting while a table clearance is being performed, the clearance shall be completed and the uncounted drop secured before re-setting the empty drop box.
- (d) table float keys –
- (i) A Pit Boss shall sign out the table float keys from a representative of the Gambling Security Department at the beginning of the shift of such Pit Boss, unless otherwise approved by the Board.
  - (ii) The table float keys shall remain in the possession or under the control of the Pit Boss until they are signed back to a representative of the Gambling Security Department at the end of the shift of such Pit Boss unless, otherwise approved by the Board.
- (e) clearance trolley keys –
- (i) A Gambling Security representative, who is independent of the key custodian, shall accompany such keys whilst in the possession of the Clearance team.
  - (ii) Surveillance personnel shall verify that employees obtaining the keys are authorised to do so and that at least two people of different departments are present when such keys are accessed.
- (f) count room keys –
- (i) The Count or Clearance Supervisor shall sign out the count room keys.
  - (ii) In circumstances where it is necessary to access the count room at times other than those scheduled for a count, the Surveillance Department shall be notified and shall observe and record the entire process.
  - (iii) Count room keys shall be safeguarded in such a manner that no fewer than two individuals of separate departments acting simultaneously, one of whom shall be a representative of the Gambling Security Department, shall have access to such keys.
- (g) table drop box and canister storage rack keys –
- (i) In circumstances where it is necessary to access the storage rack keys at times other than those scheduled for counts or clearances, a representative of the Gambling Security Department shall accompany such keys and observe the process whenever full canisters are removed from or placed in storage racks.

- (ii) Employees who retain custody of or authorised to obtain drop box and canister storage rack keys shall not have custody of or access to drop box or canister contents keys; provided that the count team shall have such access for the sole purpose of resetting the boxes during the count.
- (h) duplicate keys –
  - (i) All duplicate keys shall be maintained in a manner that will provide for at least the same degree of control as is required for the original keys.

### **8.3 Key control registers**

- (1) The Gambling Security Department shall maintain key control registers for each monitored key or combination of keys referred to in the Rules, in which all monitored key transactions are recorded.

### **8.4 Seal controls**

- (1) Seals shall be designed and constructed so as to reflect any attempt at tampering therewith.
- (2) All seals used for gambling purposes shall be uniquely pre-numbered.
- (3) Seals used for gambling purposes shall be of a different design or colour to those used for non-gambling purposes.
- (4) The design specifications of all seals shall be submitted to the Board for approval before such seals may be used in the casino.
- (5) All gambling-related seals shall be kept in a secured area.
- (6) Access to the secure area referred to in this Rule shall be limited to authorised Gambling Security representatives only.
- (7) A representative of the Gambling Security Department shall receive all gambling-related seals and enter such into the bulk registers.
- (8) A representative of the Surveillance Department shall verify the receipt of all gambling-related seals and attest to the accuracy thereof in the bulk registers.
- (9) The issuing of logic area seals from the seal storage area shall be registered in the relevant seal control register.
- (10) Slot machine logic area seals shall only be issued to a representative of the Gambling Security Department.
- (11) The slot machine logic area seal shall not be broken and re-sealed unless a representative of the Gambling Security Department and a Slot Machine Technician are present.
- (12) When a logic area seal is broken and re-sealed, an entry shall be made in the logic area seal register referred to in the Rules.
- (13) Before a seal is removed from the logic area, a representative of the Gambling Security Department shall compare the seal number affixed to the slot machine logic area with the seal number recorded in the logic area seal register.
- (14) The Surveillance Department shall be notified before a logic area seal in a slot machine is broken and notified of the reason therefor.

### **8.5 Containers for the secure transportation of cards, dice, chips, tokens and other gambling and gambling-related devices and documentation**

- (1) The containers used shall be designed and constructed so as clearly to reflect any attempt at tampering with the contents thereof.
- (2) The Board shall approve the design specifications of all containers before such containers may be used in the casino.

## 8.6 Value Stationery

- (1) All value stationery shall be kept in secured storage areas and be easily accessible when required by the Board.
- (2) Access to all value stationery in the secured areas shall be limited to personnel authorised thereto in terms of the licence holder's ICS.
- (3) Casino Administration shall be responsible for the ordering of all value stationery.
- (4) Representatives of Casino Administration and the Gambling Security Department shall verify the receipt of all value stationery into the secured bulk storage area and enter such into the bulk storage registers.
- (5) The issue and receipt of all value stationery shall be registered in stationery registers.
- (6) The Gambling Security Department shall issue value stationery from the bulk storage area.
- (7) The Gambling Security Department shall receive all manual completed value stationery books and forward such to the Casino Administration Department.
- (8) Value stationery shall comply with the criteria and contain the detail required in terms of this Rule.
- (9) All sections on the value stationery documents shall be completed accurately by the relevant employees.
- (10) Information required to be reflected on value stationery shall be recorded in ink or such other permanent medium as the Board may require or approve.
- (11) The cancelling or voiding of value stationery documents shall be recorded as such on the documents and be signed by the person accountable for the relevant transaction.
- (12) Corrections to information recorded on value stationery shall be made by drawing a single line through the error and entering the correct detail whereupon at least one employee involved in the transaction shall append his or her initials alongside the changes, specifying his or her employee details.
- (13) All signatures on value stationery shall be accompanied by the company identification number of the signatory.
- (14) Casino Administration shall ensure that value stationery, which requires strict security controls, is purchased only from a company approved for this purpose by the Board.
- (15) Notwithstanding the provisions of this Rule, where a licence holder utilises a computerised system and electronic identification protocols, the Board may approve different requirements and provisions in respect of value stationery, upon demonstration by the licence holder to the satisfaction of the Board that there are sufficient controls in place to ensure the integrity and validity of the computerised system and reports generated.
- (16) The licence holder may combine certain of the documents specified in this Rule with computer-generated reports, provided that the licence holder is able to prove to the Board the validity and correctness of the information contained in the registers and reports and demonstrates that the integrity of the documentation is not prejudiced by such combination.
- (17) Value stationery shall –
  - (a) in respect of slot shorts –
    - (i) include duplicate documents, provided that in the case of a computerised system, a copy shall be in the form of a restricted computerised record and the original document shall be a single sheet;
    - (ii) be uniquely numbered;
    - (iii) be pre-printed, if a manual system is used;

- (iv) have the same pre-printed number on all copies of the document, if a manual system is used;
- (v) reflect the date and time of the relevant transaction;
- (vi) reflect the slot machine number and denomination in respect of which the transaction is performed;
- (vii) reflect the rand amount of the transaction, expressed both in words and in numbers, or the description of the prize awarded, if such is not cash;
- (viii) in respect of hand-written jackpot and progressive jackpot payouts, reflect the game outcome, including reel symbols, card values and suits or such other display as is applicable;
- (ix) in respect of all hand-written slot shorts, bear the signatures of at least two employees, one of whom shall be a Slot Machine Supervisor, in accordance with the signing limits specified in the licence holder's ICS;
- (x) in respect of computer generated slot shorts, bear the signature of at least one employee as per signing limits specified by the licence holder's ICS;
- (xi) reflect the type of transaction (i.e. jackpot, credit win, short pay, hopper fill, special pay, progressive jackpot or supplementary prize);
- (xii) bear the signature of the Cashier verifying the redemption of the slot short;
- (xiii) in respect of hopper fills –
  - (aa) bear the signatures of the Slot Machine Attendant and a Slot Machine Supervisor or security representative, verifying receipt of the hopper bag and deposit of the tokens or coins into the slot machine hopper, as well as the signatures of such other employees as may be required in terms of the signing limits specified in the licence holder's ICS, and
  - (bb) for hopper fills over R5000,00, also bear the signature of the Gambling Security representative;
- (xiv) in respect of payouts to patrons –
  - (aa) reflect the patron's name and details on all copies;
  - (bb) bear the patron's signature on all copies, verifying the winning value and receipt of the slot short, and
  - (cc) bear the signatures of the Cashier and patron on the original document presented for redemption of the slot short, verifying the receipt of the winnings;
- (xv) in respect of supplementary prizes –
  - (aa) reflect the type of promotion to which the prize relates;
- (b) in respect of table openers and closers –
  - (i) include duplicate documents; provided that in the case of a computerised system, a copy shall be in the form of a restricted computerised record;
  - (ii) be pre-printed, if a manual system is used;
  - (iii) be uniquely numbered;
  - (iv) reflect the relevant table number;
  - (v) reflect the opening and closing date and time;
  - (vi) reflect the opening float value and closing float value, and
  - (vii) at a minimum, bear the signatures of the Dealer, Inspector and Pit Boss verifying the opening and closing float value;
- (c) in respect of table fills and credits –
  - (i) include duplicate documents; provided that in the case of a computerised system, a copy shall be in the form of a restricted computerised record;
  - (ii) be pre-printed, if a manual system is used;
  - (iii) be uniquely numbered;
  - (iv) reflect the relevant table number;
  - (v) reflect the date and time of the transaction;
  - (vi) reflect the value of the table fill or credit, and

- (vii) at a minimum, bear the signatures of the Dealer, Inspector, Pit Boss and Cashier verifying the table fill and credit value;
- (d) in respect of table game payout forms –
- (i) include duplicate documents; provided that in the case of a computerised system, a copy shall be in the form of a restricted computerised record;
  - (ii) be pre-printed, if a manual system is used;
  - (iii) be uniquely numbered;
  - (iv) reflect the relevant table number;
  - (v) reflect the date and time of the transaction;
  - (vi) specify the game description;
  - (vii) reflect the value of the payout;
  - (viii) reflect the winning combination or symbols;
  - (ix) specify the value of a partial pay from the table float, where applicable;
  - (x) reflect the personal details of the patron;
  - (xi) bear the signature of the patron, verifying the winning value;
  - (xii) at a minimum, bear the signatures of the Dealer and an employee in a table supervisory position, verifying the winning value; and such other signatures as may be required in terms of the signing authority levels contained in the licence holder's ICS;
  - (xiii) bear the signature of the patron verifying the redemption of the form at the Cash Desk, and
  - (xiv) bear the signature of the Cashier redeeming the form;
- (e) in respect of management decision payout sheets –
- (i) include duplicate documents; provided that in the case of a computerised system, a copy shall be in the form of a restricted computerised record;
  - (ii) be uniquely numbered;
  - (iii) reflect the relevant date and time;
  - (iv) bear the name of the patron;
  - (v) reflect the relevant table number or slot machine number;
  - (vi) reflect a description of the incident or dispute;
  - (vii) reflect the value of the payout, including the value of the legal payout, if applicable;
  - (viii) reflect the Surveillance Electronic Occurrence Book entry number, and
  - (ix) bear the signature of the personnel authorising the management decision;
- (f) in respect of count sheets –
- (i) include duplicate documents; provided that in the case of a computerised system, a copy shall be in the form of a restricted computerised record;
  - (ii) be uniquely numbered;
  - (iii) reflect the count date;
  - (iv) bear the signatures of the Count Supervisor, one other member of the count team and representatives of the Cash Desk and Casino Administration;
  - (v) in respect of the slot machine bill count –
    - (aa) reflect the relevant slot machine number;
    - (bb) specify the number of bills counted per slot machine, and
    - (cc) specify the total value of bills counted;
  - (vi) in respect of the slot machine hard count –
    - (aa) reflect the relevant slot machine number;
    - (bb) specify the number of tokens or coins counted per slot machine or the value thereof, and
    - (cc) specify the total number or value of tokens or coins counted;

- (vii) in respect of the table game soft count –
  - (aa) reflect the actual drop per table, including cash, value chips, plaques, and other value instruments used to reflect buy-in;
  - (bb) reflect the estimated drop per table;
  - (cc) reflect all table fills and credits per table;
  - (dd) reflect opening and closing table float values per table, and
  - (ee) reflect the total value of drop counted;
- (viii) the details required in terms of this Rule, shall be recorded on count sheets used for emergency counts, which, notwithstanding the provisions of this Rule, shall bear the signatures of the Count Supervisor, one other member of the count team and a representative of the Cash Desk who does not perform any function in relation to the count proceeds;
- (g) In respect of patron card transaction slips –
  - (i) reflect the details of the patron;
  - (ii) reflect the date and time of the transaction;
  - (iii) reflect the value of the transaction;
  - (iv) reflect the relevant table number, where applicable;
  - (v) bear the signature of the Dealer or Cashier, where applicable, and
  - (vi) bear the signature of the patron, in the event of a table game transaction;
- (h) in respect of unclaimed credit and jackpot documentation –
  - (i) be uniquely numbered;
  - (ii) bear the signatures of the Slot Machine Supervisor or Table Game Supervisor and Cashier verifying the receipt of the unclaimed value as well as the redemption thereof;
  - (iii) reflect the date and time that the unclaimed credit or jackpot was found;
  - (iv) reflect the relevant slot machine number or table number;
  - (v) specify the relevant unclaimed value;
  - (vi) contain a description of the source of the unclaimed value,
  - (vii) specify the cumulative total of unclaimed value held per tax period;
  - (viii) reflect the date of redemption, and
  - (ix) specify the cumulative total of redeemed value per tax period;
- (i) in respect of testing money –
  - (i) be pre-numbered;
  - (ii) reflect the date and time the tests were performed;
  - (iii) reflect the relevant slot machine number;
  - (iv) specify the value received from the Cash Desk for testing purposes;
  - (v) specify the value returned to Cash Desk, where applicable;
  - (vi) reflect the reason for the test, and
  - (vii) bear the signatures of representatives of the Slot Machine and Gambling Security Departments.

## 8.7 Controlled Stationery

- (1) All controlled stationery shall be kept in secured storage areas and be easily accessible when required by the Board.
- (2) Access to all controlled stationery in the secured areas shall be limited to personnel authorised thereto in terms of the licence holder's ICS.

- (3) Representatives of Casino Administration and the Gambling Security Department shall verify the receipt of all controlled stationery into the secured bulk storage area and enter such into the bulk storage registers.
- (4) The issue and receipt of all controlled stationery shall be registered in stationery registers.
- (5) The Gambling Security Department shall issue controlled stationery from the bulk storage area.
- (6) Controlled stationery shall comply with the criteria and contain the detail required in terms of this Rule or the licence holder's ICS.
- (7) All sections on the controlled stationery documents shall be completed accurately by the relevant employees.
- (8) Information required to be reflected on controlled stationery shall be recorded in ink or such other permanent medium as the Board may require or approve.
- (9) The cancelling or voiding of controlled stationery documents shall be recorded as such on the documents and be signed by the person accountable for the relevant transaction.
- (10) Corrections to information recorded on controlled stationery shall be made by drawing a single line through the error and entering the correct detail whereupon at least one employee involved in the transaction shall append his or her initials alongside the changes, specifying his or her employee details.
- (11) All signatures on controlled stationery shall be accompanied by the company identification number of the signatory.
- (12) Casino Administration shall ensure that controlled stationery, which requires strict security controls, is purchased only from a company approved for this purpose by the Board.
- (13) Notwithstanding the provisions of this Rule, where a licence holder utilises a computerised system and electronic identification protocols, the Board may approve different requirements and provisions in respect of controlled stationery, upon demonstration by the licence holder to the satisfaction of the Board that there are sufficient controls in place to ensure the integrity and validity of the computerised system and reports generated.
- (14) The licence holder may combine certain of the registers specified in this Rule and combine the registers with computer-generated reports, provided that the licence holder is able to prove to the Board the validity and correctness of the information contained in the registers and reports and demonstrates that the integrity of the documentation is not prejudiced by such combination.
- (15) Controlled stationery shall –
  - (a) in respect of monitored key registers –
    - (i) be bound;
    - (ii) be pre-numbered;
    - (iii) provide for an inventory of any key or keys that the register relates to;
    - (iv) reflect the date and time any key is signed out;
    - (v) bear the signature of the custodian issuing the keys;
    - (vi) bear the signature of the employee receiving the keys;
    - (vii) bear the signature of the witness, where applicable;
    - (viii) indicate the reason for unscheduled access, where applicable;
    - (ix) specify the old seal number if the container containing the key or keys is sealed;
    - (x) reflect the date and time any key is returned;
    - (xi) bear the signature of the employee returning the keys;
    - (xii) bear the signature of the custodian of the keys;
    - (xiii) bear the signature of the witness, where applicable, and
    - (xiv) specify the new seal number if the container containing key or keys is sealed;

- (b) in respect of the value and controlled stationery bulk store registers –
- (i) be bound;
  - (ii) be pre-numbered;
  - (iii) reflect the date on which the relevant stationery is received;
  - (iv) contain a description of the relevant stationery;
  - (v) reflect the range of the relevant stationery;
  - (vi) bear the signatures of representatives of the Gambling Security Department and Casino Administration receiving the relevant stationery;
  - (vii) reflect the date the relevant stationery is issued;
  - (viii) reflect the range of the relevant stationery issued;
  - (ix) bear the signature of the Gambling Security representative issuing the relevant stationery;
  - (x) bear the signature of the employee receiving the stock, and
  - (xi) reflect the running stock total of the relevant stationery;
- (c) in respect of the daily issue value stationery registers –
- (i) be bound;
  - (ii) be pre-numbered;
  - (iii) reflect the date the relevant stationery is received;
  - (iv) reflect the ranges of the relevant stationery received;
  - (v) contain a description of the relevant stationery;
  - (vi) bear the signature of the employee receiving the relevant stationery;
  - (vii) reflect the old seal number if the relevant stationery is sealed in a container;
  - (viii) reflect the current stock level;
  - (ix) reflect the date the relevant stationery is issued;
  - (x) reflect the ranges of the relevant stationery issued;
  - (xi) contain a description of the relevant stationery issued;
  - (xii) bear the signature of the employee issuing the relevant stationery;
  - (xiii) bear the signature of the employee receiving the relevant stationery, and
  - (xiv) specify the new seal number if the relevant stationery is sealed in a container;
- (d) in respect of the bulk logic area seal registers –
- (i) the provisions of sub-rule 15(b) shall apply, with the necessary changes, and
  - (ii) notwithstanding the provisions of sub-rule 15(b) representatives of the Gambling Security and Surveillance Departments shall sign for receipt of the seals into the bulk storage area and a representative of the Gambling Security Department shall issue the logic area seals;
- (e) in respect of daily logic area seal documentation –
- (i) be pre-numbered;
  - (ii) reflect the relevant slot machine number;
  - (iii) reflect the date and time of the seal change;
  - (iv) specify the old seal number;
  - (v) specify the new seal number;
  - (vi) indicate the reason for the seal change;
  - (vii) bear the signature of the gambling security representative, and
  - (viii) bear the signature of the Slot Machine Technician;
- (f) in respect of the surveillance system malfunction, alteration and maintenance registers –
- (i) be bound;
  - (ii) be pre-numbered;
  - (iii) reflect the date and time that the malfunction occurred;
  - (iv) contain a description of the malfunction;



- (v) bear the signature of the employee reporting the malfunction;
  - (vi) reflect the date and time that the malfunction was repaired or any alteration or maintenance was performed;
  - (vii) contain a description of the repair, alteration or maintenance performed;
  - (viii) bear the signature of the employee performing the repair, alteration or maintenance, and
  - (ix) bear the signature of the employee of the rank of at least Surveillance Shift Manager; verifying the repair, alteration or maintenance;
- (g) in respect of EMS malfunction, change and upgrade documentation –
- (i) reflect the date and time that the malfunction occurred;
  - (ii) contain a description of the malfunction;
  - (iii) bear the name or company ID and signature of the employee reporting the malfunction;
  - (iv) reflect the date of the relevant repair, change or upgrade;
  - (v) contain a description of the relevant repair, change or upgrade;
  - (vi) indicate the reason for the relevant change or upgrade, and
  - (vii) bear the signatures of the employee performing the repair, change or upgrade and the IT Manager;
- (h) in respect of EMS and gambling-related system back-up documentation –
- (i) reflect the date and time of the backup;
  - (ii) indicate the type of backup;
  - (iii) reflect the backup tape reference number;
  - (iv) bear the signature of the employee performing the backup, where applicable, and
  - (v) specify the location at which the backup tape is stored;
- (i) in respect of the gambling device asset registers –
- (i) reflect the unique serial or asset number of the relevant device;
  - (ii) contain a description of the relevant gambling device;
  - (iii) reflect the Board approval reference number;
  - (iv) specify the manufacturer name;
  - (v) reflect the date on which gambling device was placed into service;
  - (vi) specify the location of the relevant device;
  - (vii) reflect the date on which the relevant device was removed from service, and
  - (viii) reflect the location to which the relevant device has moved;
- (j) in respect of gambling and related device maintenance register –
- (i) be bound;
  - (ii) be pre-numbered;
  - (iii) reflect the unique asset and serial number in respect of the relevant device;
  - (iv) reflect the date and time of the maintenance performed;
  - (v) provide a description of the maintenance performed;
  - (vi) reflect the seal number, where applicable;
  - (vii) bear the signature of the employee performing the maintenance, and
  - (viii) bear the signature of the employee witnessing the maintenance;
- (k) in respect of RAM reset documentation –
- (i) be pre-numbered and in duplicate;
  - (ii) reflect the relevant slot machine number;
  - (iii) reflect the date and time of the RAM reset;
  - (iv) indicate the reason for the RAM reset;
  - (v) reflect the slot machine soft meter readings prior to the Ram reset, when possible, or attach a printout of the meter information on the EMS, prior to the RAM clear, and
  - (vi) bear the signatures of the Slot Machine Technician and Slot Machine Supervisor;

- (l) in respect of playing card bulk control register –
- (i) the provisions of sub-rule 15(b) shall apply, with the necessary changes, and
  - (ii) notwithstanding the provisions of sub-rule 15(b) a representative of the Surveillance Department shall sign as witness for the receipt of playing cards and entering into the playing card bulk store register;
- (m) in respect of playing card daily issue registers –
- (i) be bound;
  - (ii) be pre-numbered;
  - (iii) reflect the date of receipt of the relevant playing cards;
  - (iv) reflect the colour and type of cards received;
  - (v) specify the number of decks received;
  - (vi) bear the signature of the employee receiving the cards;
  - (vii) reflect the current stock level at time of –
    - (aa) receiving cards from bulk storage;
    - (bb) issue of cards to the Table Game Department, and
    - (cc) return of cards from the Surveillance Department;
  - (viii) reflect the date of issue of the relevant cards to the Table Game Department;
  - (ix) reflect the colour and type of cards issued;
  - (x) specify the number of decks issued to the Table Game Department;
  - (xi) specify the table or pit to which the relevant cards have been issued;
  - (xii) reflect the card control form reference number;
  - (xiii) reflect the relevant seal number;
  - (xiv) bear the signature of the employee issuing the cards;
  - (xv) bear the signature of the employee receiving the cards;
  - (xvi) reflect the date on which the relevant cards were received from the Surveillance Department;
  - (xvii) reflect the colour and type of cards received from the Surveillance Department;
  - (xviii) specify the number of decks received from the Surveillance Department;
  - (xix) reflect the number and colour of decks destroyed;
  - (xx) specify the number of decks retained by the Surveillance Department, and
  - (xxi) bear the signature of a representative of the Surveillance Department;
- (n) in respect of playing card control form –
- (i) be pre-numbered;
  - (ii) reflect the date of issue of the relevant playing cards to the Table Game Department;
  - (iii) reflect the colour and type of cards issued to the Table Game Department;
  - (iv) specify the number of decks issued to the Table Game Department;
  - (v) specify the table or pit to which the relevant cards were issued;
  - (vi) reflect the seal numbers in respect of the relevant card containers;
  - (vii) bear the signatures of the Gambling Security and Table Game Department representatives;
  - (viii) bear the signatures of the Dealer and Inspector attesting to the seal numbers and inspection of the playing cards upon receipt thereof;
  - (ix) reflect the seal numbers when decks are re-sealed at table game closing;
  - (x) bear the signatures of the Dealer and Inspector attesting to the seal numbers and inspection of the playing cards at table game closing;
  - (xi) bear the signature of the Surveillance Department representative attesting to the receipt of the playing cards, as well as the seal numbers in respect thereof, and
  - (xii) specify the number of decks to be disposed of and the number of decks returned to the Gambling Security Department;

- (o) in respect of playing card retention and disposal registers –
  - (i) be bound;
  - (ii) be pre-numbered;
  - (iii) reflect the date on which cards are retained by the Surveillance Department and disposed of by the Gambling Security Department;
  - (iv) reflect the current stock level at the time when the relevant cards are retained by the Surveillance Department and disposed of by the Gambling Security Department;
  - (v) reflect the colour and type of playing cards retained and disposed of;
  - (vi) specify the number of decks retained and disposed of;
  - (vii) indicate the reason for retaining or disposing of the playing cards, and
  - (viii) bear the signatures of the representatives of the Gambling Security and Surveillance Department witnessing the disposal of the playing cards.

### 8.8 Access control cards and secured areas

- (1) Each employee shall complete a form to be signed by the relevant supervisor, who shall specify and authorise the access level of such employee.
- (2) The Gambling Security Department shall verify that employees who are no longer employed by the licence holder are removed from the access control system.
- (3) The following areas shall be deemed to be secured areas and only appropriately authorised personnel shall have access thereto –
  - (a) IT office and file server rooms;
  - (b) UPS rooms;
  - (c) surveillance rooms and offices and other areas with live surveillance visual signals, including the DVL;
  - (d) count rooms;
  - (e) areas where uncounted drop is stored or secured;
  - (f) storage areas for logic area seals, value and controlled stationery, playing cards and dice;
  - (g) monitored key issue areas;
  - (h) the on-site office of the Board, and
  - (i) such other areas as may be specified by the Board from time to time.
- (4) Access to the areas referred to in this Rule shall be restricted to personnel authorised thereto in terms of the Act and the licence holder's ICS.

### 8.9 Card and dice requirements

- (1) A licence holder shall not permit or cause to be used in its casino any cards or dice unless the design and manufacturing specifications thereof have been approved by the Board.
- (2) Cards used to play Poker, Black Jack and Punto Banco respectively shall be different in design.
- (3) Cards shall be in decks of 52 cards each.
- (4) Each deck of cards shall be composed of four suits namely, diamonds, spades, clubs and hearts.
- (5) Each suit shall comprise of 13 cards being –
  - (a) Ace;
  - (b) King;
  - (c) Queen;
  - (d) Jack;
  - (e) Ten;

- (f) Nine;
- (g) Eight;
- (h) Seven;
- (i) Six;
- (j) Five;
- (k) Four;
- (l) Three, and
- (m) Two.

- (6) The cards shall be designed in such a manner that the values and suits of the cards can be identified by Surveillance at the time of play.
- (7) The back of each card in the deck shall be identical and no card shall contain any marking, symbol or design that will enable a person to know the identity of any element printed on the face of the card or that will in any way differentiate the back of the card from any other card in the same deck.
- (8) The back of all cards in the deck shall be designed so as to diminish, as far as possible, the ability of any person to place concealed markings thereon.
- (9) The design to be placed on the back of the cards shall be different to the design used by any other licence holder.
- (10) Each deck of cards shall be wrapped separately and the wrapping shall reflect any attempt at tampering therewith.
- (11) A licence holder shall have a sufficient number of colours for each game where playing cards are utilised to ensure that –
  - (a) a colour can be withdrawn from use, and
  - (b) in relation to Poker games, different colours of cards are used at tables that are opened simultaneously.

#### **8.10 Receipt, inspection, storage and removal from storage of cards and dice**

- (1) A representative of the Gambling Security Department in conjunction with a representative of the Surveillance Department, shall receive and examine the cards and dice to ensure that the wrapping of the cards and dice have not been tampered with.
- (2) If the wrapping has been tampered with, the relevant cards or dice shall immediately be inspected to ensure that they conform to the applicable specifications and are suitable for play.
- (3) If the cards or dice wrapping has not been tampered with, the cards or dice shall be locked in a secured area controlled by the Gambling Security Department, the key to which shall be maintained by the Gambling Security Department.
- (4) After checking the cards or dice received a representative of the Gambling Security Department shall record the details of the cards or dice received in a card or dice inventory register, as the case may be.
- (5) A representative of the Gambling Security Department shall receive all cards and dice and enter the details of such into the bulk registers.
- (6) A representative of the Surveillance Department shall be present upon receipt, storage and entering into the relevant inventory of all cards or dice received to attest to the accuracy of the entries made in the bulk registers.
- (7) The Gambling Security Department shall, prior to the commencement of each gambling day, remove the appropriate number of cards and dice for that gambling day from the storage areas and immediately place the cards or dice assigned to each gambling table in separate sealed containers, for distribution to the pit.
- (8) The Surveillance Department shall be informed of the storage, removal from storage and the placement into sealed containers of all cards and dice and shall monitor and record information in the Electronic Occurrence Book.

### 8.11 Issue and control of dice

- (1) When dice are to be distributed to a pit, a representative of the Gambling Security Department shall remove the dice from the storage area and shall hand them directly to the Pit Boss in the pit.
- (2) Upon receipt of the dice at a gambling table, the box person shall, in the presence of the Dealer, inspect the dice with a micrometer or any other instrument approved by the Board for suitability and compliance with the applicable national norms and standards.
- (3) If the dice are found to be suitable and comply with the applicable national norms and standards, the box person shall, in the presence of the Dealer, place the dice in a cup on the table for use in gambling.
- (4) At no stage while the dice are at the gambling table shall the dice be left unattended.
- (5) The Pit Boss shall place a reserve set of dice in the pit desk.
- (6) Dice kept in the pit desk shall be placed in a locked compartment, the keys to which shall be in the possession of the Pit Boss.
- (7) No dice shall be used for gambling unless they have been inspected in accordance with this Rule.

### 8.12 Removal from use and disposal of dice

- (1) A licence holder shall, at any time during a gambling day, remove dice from the gambling table if –
  - (a) there is any indication that such dice have been or may have been tampered with;
  - (b) such dice display such other defect as might negatively affect the integrity or fairness of the game, or
  - (c) requested to do so by an authorised officer of the Board.
- (2) A Pit Boss shall, at the end of each gambling day, or at such other times as may be necessary, physically inspect each die for evidence of tampering.
- (3) Any evidence of tampering shall immediately be reported to the Surveillance Department.
- (4) The inspection referred to in this Rule shall be performed in the following manner –
  - (a) The inspection shall be performed by a Pit Boss other than the one who originally received the dice.
  - (b) Any dice showing evidence of tampering shall be sealed in a separate container.
  - (c) A label shall be attached to the container contemplated in paragraph (b), specifying the relevant table number and the date and time of the relevant inspection and shall be signed by the box person and the Pit Boss.
  - (d) The Surveillance Department representative receiving the dice shall sign for receipt of the dice and retain the dice in a safe or vault within the Surveillance Department for a period of two months or such longer period as may be required by the Board.
  - (e) All other dice removed from the table shall be placed in individual containers to which labels, identifying the relevant table number and date, shall be attached.
  - (f) Each container contemplated in paragraph (e) shall be appropriately sealed and maintained in a secure place within the pit until collection by the Surveillance Department at the end of the gambling day.
- (5) No dice that have been placed in a cup for use in a gambling game shall remain on the table for more than 24 hours.
- (6) All reserve dice, which are to be destroyed, shall at the end of each gambling day be placed in a sealed container, to which a label specifying the date and signed by the Pit Boss shall be attached.
- (7) A representative of the Surveillance Department shall, at least once every gambling day, collect and sign for all containers with used dice or reserve dice that are to be disposed of, and shall transport them to the Surveillance Department for inspection and destruction.

- (8) Representatives of the Gambling Security Department shall, at least once every gambling day, collect and sign for all reserve dice which are still sealed.
- (9) All used dice, other than dice retained by the Surveillance Department for investigation purposes, shall be inspected by the Surveillance Department and disposed of by the Gambling Security Department within 48 hours of collection thereof.
- (10) Dice shall be disposed of either by drilling a hole through each die or by incinerating them, or by such other method as may be approved by the Board.
- (11) The disposal of dice shall take place in the presence of a representative of the Surveillance Department in a secure place and be continuously monitored and recorded by the Surveillance Department.

#### **8.13 Issue and control of cards**

- (1) When cards are to be distributed to a pit, a representative of the Gambling Security Department shall remove the cards from the storage area and shall hand them directly to the Pit Boss in the pit.
- (2) The Pit Boss shall, under camera coverage, verify that all decks of cards are present and are of the correct colour.
- (3) Each Dealer shall, before using a deck of cards, inspect all the cards in the deck and an Inspector shall verify such inspection.
- (4) When inspecting the cards the Dealer shall –
  - (a) sort each pack in sequence per suit to ensure that all cards are in the deck, and
  - (b) check the back of each card to ensure that it is not scratched or marked in any way.

#### **8.14 Removal from use and disposal of cards**

- (1) If, at any time an unsuitable or damaged card is found, the Pit Boss shall be notified and shall replace the unsuitable or damaged card with a substitute card from the replacement set kept in the pit stand.
- (2) An unsuitable or damaged card referred to in this Rule shall be sealed in a container and labelled, identifying the –
  - (a) table number;
  - (b) card or cards damaged, and
  - (c) date and time,and the container shall be signed by the Dealer, the Inspector and the Pit Boss assigned to that table.
- (3) When unsuitable or damaged cards are removed from a table, the Surveillance Department shall be notified immediately and the cards be placed in a secure container by the Pit Boss.
- (4) All cards which have been issued to the pit shall be removed from use at least once during every gambling day.
- (5) At the end of each gambling day, the Pit Boss or authorised delegate shall collect all cards issued to the pit.
- (6) All cards collected in terms of this Rule shall be placed in an individually sealed container to which a label, signed by the Dealer and Inspector assigned to the relevant table, shall be attached identifying the table number and the date and time.
- (7) The Pit Boss shall retain the containers referred to in this Rule in a secure place within the pit.
- (8) A licence holder shall, at any time during the day, remove any cards from the gambling tables if –
  - (a) there is any indication that such cards have or may have been tampered with;
  - (b) the cards display scratches, marks or any other defects which might negatively affect the integrity or the fairness of the game, or
  - (c) requested to do so by an authorised officer of the Board.

- (9) All extra cards in any replacement set of which the seals have been broken, shall be placed in a sealed container, to which a label, signed by the Pit Boss, identifying the date and time that the relevant seal was broken and the reason for breaking such seal, shall be attached.
- (10) At the end of each gambling day or at such other times as may be necessary, the Surveillance Department shall collect and sign for all containers with damaged cards, cards used during the gambling day, and all extra cards in the replacement set and shall return the containers to the Surveillance Department.
- (11) The Surveillance Department shall inspect all cards used during the day for tampering, marks, alterations, missing or additional cards or anything that might indicate unfair play.
- (12) The inspection of the cards by the Surveillance Department shall include –
  - (a) the sorting of the cards sequentially by suit;
  - (b) the inspection of the cards under ultra violet-light;
  - (c) the inspection of the sides of the cards for crimps, bends, cuts or shavings;
  - (d) the inspection of the front and the back of all cards for consistent shading and colouring, and
  - (e) verifying the seal numbers affixed to the containers.
- (13) Any evidence of tampering, marks, alterations, missing or additional cards or anything that might indicate unfair play discovered at the time of inspection, or at any other time, shall immediately be investigated.
- (14) Details of the relevant investigation, contemplated in this Rule, shall be contained in the weekly surveillance report submitted to the Board and the licence holder shall retain the relevant cards until such time as the Board authorises the destruction thereof.
- (15) Unused cards that are still sealed in their original containers, or used cards that are still in a condition suitable for re-use which have been inspected and re-sealed by the Surveillance Department, may be returned to the storage area.
- (16) The Pit Boss shall ensure that the playing card control form prescribed by the Rules accompanies such cards to the Surveillance Department, which shall retain such documentation.
- (17) Upon completion of the card inspection, the Surveillance Department shall recommend which cards should be disposed of, with the exception of cards suitable for re-use, either by shredding or such other method as may be approved by the Board.
- (18) The cards retained by the Surveillance Department and cards to be disposed of by the Gambling Security Department shall be kept in a secure location under continuous surveillance monitoring until they are disposed of.
- (19) The cards to be disposed of shall be kept in complete decks of 52 cards.
- (20) The Gambling Security Department shall dispose of cards, and the disposal shall take place in a secure location under continuous surveillance monitoring, within 48 hours of collection of such cards from the Table Game Department.
- (21) A representative of the Surveillance Department shall witness the disposal of cards and a register shall be maintained and signed by representatives of the Gambling Security and Surveillance Departments attesting to the disposal of such cards.

**CHAPTER IX**  
**SURVEILLANCE DEPARTMENT**

**9.1 ICS**

- (1) At a minimum, the licence holder's Surveillance Department ICS shall contain provisions and procedures relating to –
- (a) surveillance system maintenance, including system checks and equipment testing;
  - (b) the administration with reference to the authorisation, allocation, amendment and termination of user access rights with regard to the Electronic Occurrence Book and digital recording system, where applicable;
  - (c) surveillance system malfunctions, including the recording and correction thereof;
  - (d) access to the surveillance monitoring room and other offices within the Surveillance Department;
  - (e) access to surveillance recordings;
  - (f) performance of surveillance system checks;
  - (g) the management of the digital video library ("DVL"), including –
    - (i) the storage of disks;
    - (ii) treatment of evidence footage;
    - (iii) the withdrawal of footage, and
    - (iv) the destruction of disks where applicable;
  - (h) the documenting, investigation and manner of reporting of all breaches of procedure and illegal and unusual activities monitored by the Surveillance Department;
  - (i) the recording of information in the Surveillance Electronic Occurrence Book, and any changes made thereto;
  - (j) back up and data recovery controls in respect of the Surveillance Electronic Occurrence Book;
  - (k) the storage of controlled stationery;
  - (l) monitored key controls and observation duties in respect thereof;
  - (m) slot machine logic area seal controls and observation duties in respect thereof;
  - (n) recording of hopper fills and observation duties in respect thereof;
  - (o) jackpot verification;
  - (p) the manner of observation and monitoring of table game openings and closings;
  - (q) the manner of observation and monitoring of table game fills and credits;
  - (r) card and dice control, including;
    - (i) the collection of cards and dice from the Table Game Department;
    - (ii) inspection of all cards and dice;
    - (iii) damaged and tampered cards and dice;
    - (iv) the monthly audit of cards and dice stock;
    - (v) the disposal of cards and dice, and
    - (vi) the management of re-usable cards;
  - (s) the manner of observation and monitoring of slot machine hard, slot machine bill and table soft clearances and emergency clearances;
  - (t) the manner of observation and monitoring of slot machine hard, slot machine bill and table soft counts and emergency counts;
  - (u) the investigation and review of patron disputes with regard to slot machines and table games;
  - (v) the investigation of variances between metered and actual slot machine hard drop, slot machine bill drop and table game drop and the reporting thereof;
  - (w) the investigation of count variances and the reporting thereof;
  - (x) the investigation of variances between metered EMS hopper float levels and actual hopper contents counted;
  - (y) the investigation of variances between the opening and closing table float;
  - (z) a breakdown of the shift, daily, weekly and monthly duties of the Surveillance Department;
  - (aa) the manner of compilation of a weekly report reflecting all breaches of procedures of the licence holder's ICS within the previous week, specifying the breaches that occurred and their frequency within such week, where applicable;



- (bb) the performance of monthly audits to ensure the accuracy of all monitored key control registers and access control logs required to be kept in terms of the Act;
- (cc) the performance of weekly audits to ensure that all relevant surveillance video recordings are accounted for;
- (dd) the performance of monthly audits to ensure the accuracy and completeness of all issued controlled stationery registers inclusive of the stock levels held in the bulk storage area;
- (ee) the performance of monthly audits of the playing cards and dice in storage to the relevant playing card and dice registers;
- (ff) the performance of monthly audits to ensure that access to the EMS and other gambling-related software is given to authorised personnel only, that the access given does not contravene the licence holder's ICS and that the access rights of employees who are no longer employed by the licence holder have been terminated;
- (gg) the performance of monthly audits in respect of all authorised changes to information on the EMS and the gambling-related system database to ensure appropriate authorisation and the correctness thereof;
- (hh) the performance of monthly audits to ensure that the physical access levels given to employees do not contravene the licence holder's ICS and that the access rights of employees who are no longer employed by the licence holder have been cancelled;
- (ii) the performance of monthly audits to ensure the accuracy of slot machine logic area seal registers, and
- (jj) the performance of monthly audits to ensure that the maintenance of roulette wheels and card shufflers is performed in accordance with these Rules.

## 9.2 Surveillance system plan and alterations to the surveillance system

- (1) Prior to commencing any gambling operations, a licence holder shall submit to the Board for its approval, a surveillance system plan, which shall conform to the provisions of the Act and the licence holder's ICS and which shall include –
  - (a) a casino floor plan, showing the placement of all surveillance equipment;
  - (b) a detailed inventory of the surveillance system equipment specifications, including specifications in respect of each camera, monitor, recorder, microphone, motion detector, panic alarm, contact alarm and counting device, and
  - (c) a table of all the cameras linked to the surveillance system, specifying –
    - (i) the camera number;
    - (ii) the number of the recording device recording the camera view, if the recording device number differs from the camera number;
    - (iii) the number of back-up recorders;
    - (iv) resolution and compression rates of recording, where applicable;
    - (v) event recording set-up, where recording is not continuous;
    - (vi) recording frame rate, where applicable;
    - (vii) audio capabilities;
    - (viii) all equipment that is interfaced with the camera;
    - (ix) a description of each camera view;
    - (x) location of panic alarms, and
    - (xi) location of contact alarms.
- (2) The surveillance system plan shall be submitted to the Board for its in-principle approval prior to its installation.
- (3) Only after completion of the installation of the surveillance system will the Board finally consider the approval of such system.
- (4) A licence holder shall submit proposed alterations or amendments to the approved surveillance system to the Board in such manner and format as the Board may determine.
- (5) A licence holder which proposes to alter or amend its approved surveillance system or any equipment approved in terms thereof, or to alter or move anything that is being monitored or do anything that will affect the approved view of any camera, shall submit such documentation as may be required by the Board in respect thereof, and shall not affect any such alterations or amendments prior to receiving approval in principle from the Board in respect thereof.

- (6) Subsequent to the alteration or amendment of the approved surveillance system, the licence holder shall submit to the Board a colour copy of the printout or a photograph of the altered or amended view, as well as such other documentation as may be required by the Board.
- (7) The Surveillance Department shall perform tests to ensure that all alarm conditions, interface requirements and legislative requirements are adhered to when altering or amending the approved surveillance system, shall document the results of such tests, in the format determined by the Board, and shall maintain the documents on-site for inspection by the Board.
- (8) The Board shall perform an on-site inspection subsequent to an alteration or amendment contemplated by this Rule, whereafter the Board shall finally consider approval of such alteration or amendment.
- (9) The provisions of this Rule shall not preclude the performance of any routine maintenance on the surveillance system; provided that the surveillance system or any equipment used therein or in the maintenance thereof shall not deviate from the plan, system or equipment approved by the Board.
- (10) A service provider, which has been licensed or found suitable by the Board to install or maintain surveillance equipment, shall, on an annual basis, inspect the surveillance system installed on the premises of the licence holder and issue a certificate stating that the system complies with all applicable legal requirements.

### 9.3 Surveillance system malfunctions

- (1) In the event of a surveillance system malfunction that affects the monitoring of any activity that is required to be monitored in terms of the Act, the licence holder shall immediately monitor that activity by an alternative means.
- (2) The licence holder shall ensure that the alternative means of monitoring such activity shall comply with the provisions of the Act relating to the relevant view which shall include audio capabilities and titlers, where applicable.
- (3) If it is impossible for the licence holder to comply with the provisions of sub-rule (1) and (2), the licence holder shall immediately notify the Board of such non-compliance.
- (4) Each malfunction shall be repaired within 24 hours of the occurrence thereof.
- (5) If a malfunction contemplated by this Rule is not repaired within 24 hours, the licence holder shall immediately inform the Board, setting forth the reason for the delay in repair.
- (6) The Board may in its discretion order that all activity in an area affected by a malfunction be suspended pending repair.
- (7) Only appropriately qualified persons, approved by the Board, shall perform maintenance on the surveillance system.
- (8) All surveillance system equipment malfunctions shall be recorded in the surveillance system malfunction register or a similar electronic register as approved by the Board.
- (9) The detail of malfunctions arising, other than those contemplated in sub-rule (8), which have a direct or indirect impact on the surveillance system, shall be recorded in the Surveillance Electronic Occurrence Book.
- (10) An employee of the level of at least Surveillance Shift Manager shall, on a daily basis, review the surveillance system malfunction register and sign each entry, attesting to the compliance of the alterations or maintenance with the surveillance plan and system approved by the Board.
- (11) The Surveillance Department shall ensure that the surveillance messaging of all devices linked to the surveillance system is functioning properly subsequent to alterations to the surveillance system or to any device interfaced with the surveillance system.
- (12) No gambling-related devices or other equipment that is interfaced with the surveillance system may be used unless the Surveillance Department has verified that the surveillance messaging of such equipment is functioning in accordance with the requirements of the Rules.

- (13) The Surveillance Department shall be informed by the relevant departments prior to occurrence of the following events –
- (a) when the physical appearance of a gambling device changes;
  - (b) when changes affecting the approved view are made to the décor within areas that are required to be monitored in terms of the Act, and
  - (c) when any area, or the physical location of gambling device or equipment, that is required to be monitored in terms of the Act, changes

and upon the occurrence of such events, but prior to the conduct of any gambling activity in such area, shall conduct such tests in respect thereof as may be necessary to ensure that the surveillance system and all the views comply with the provisions of the Act.

#### 9.4 Reporting requirements

- (1) The head of the Surveillance Department shall report directly to at least the General Manager of the casino operation.
- (2) The Surveillance Department shall, on a weekly basis, provide the Board with a report reflecting –
- (a) any contraventions of the licence holders ICS or the Act;
  - (b) any discrepancies detected during the audits performed by it;
  - (c) a summary of all disputes arising;
  - (d) a summary of over and under payments;
  - (e) a summary of all unresolved count variances;
  - (f) any cheating activities detected;
  - (g) all management decisions made;
  - (h) a summary of bannings for child-related incidents, cheating, self exclusions and other incidents;
  - (i) any surveillance system malfunctions;
  - (j) the number of visitors to the casino;
  - (k) the average amount spent per visitor;
  - (l) such other detail as may be required by the Board;
  - (m) all resolved variances;
  - (n) any variance which cannot be resolved, and
  - (o) all investigations initiated by the licence holder during the reporting period.
- (3) The Surveillance Department shall indicate the reasons for the occurrence of the contraventions contemplated in sub-rule (2), where applicable, have occurred and indicate the outcome of the events reported to the Board inclusive of the measures implemented to mitigate the risk of re-occurrence, where applicable.
- (4) An employee of the rank of at least Surveillance Shift Manager shall ensure the sound, accurate and systematic record keeping of all aspects of the surveillance operations and functions as referred to in sub-rule (2)
- (5) The weekly reports shall be submitted by no later than 16h00 on the Tuesday of the following week.
- (6) In addition to the provisions of this Rule, the Surveillance Department shall submit any other reports to the Board relating to –
- (a) any material weaknesses identified in the gambling-related operations and activities,
  - (b) any material weaknesses identified in the licence holder's ICS, and
  - (c) instances of possible non-compliance with the provisions of the licence holder's ICS or the Act.
- within 14 days of compiling such reports.
- (7) The Board may approve different reporting lines to those prescribed in this Rule above, upon demonstration by the licence holder that there are no incompatible functions.
- (8) All reports shall be in writing and kept for a period of at least two years.

## 9.5 Minimum requirements for the surveillance system

- (1) A licence holder shall at all times ensure the proper and effective operation of its surveillance system in order to ensure the continuous, clear and unobstructed monitoring and recording of all areas, persons and activities that are required to be monitored in terms of the licence holder's ICS and the Act, provided that the Board may approve non-continuous recording and reduced frame rates in certain areas if the licence holder is able to prove that –
  - (a) there are adequate controls over such areas;
  - (b) all activities in such areas would be adequately recorded;
  - (c) no significant incidents, activities or persons would go undetected, and
  - (d) sufficient information would be recorded to be able to reconstruct and resolve any incident.
- (2) The Board may, on reasonable grounds, require a licence holder to comply with more stringent requirements than those set forth in the Act.
- (3) The surveillance system referred to in this Rule shall contain the following equipment–
  - (a) a control unit having the capability to select any camera to any monitor in the surveillance system and to display the selected view, unless the Board approves otherwise;
  - (b) dedicated cameras that monitor and record a specified activity continuously, the placement and number of which shall be subject to approval by the Board;
  - (c) a matrix, being a microprocessor-controlled switching device, which shall enable the system to direct any number of inputs to any number of outputs, where applicable;
  - (d) PTZ cameras controlled with the control unit with, at a minimum, the capability to pan (rotate) 360°, to tilt 180°, with the capability to zoom in and out, the placement and number of which shall be subject to the approval of the Board;
  - (e) a titler which shall superimpose the time, date, a title identifying the view displayed and reflect significant event messages onto all video signals without obstructing the recorded views, or as otherwise approved by the Board;
  - (f) signal loss detectors, which shall detect any loss in camera signals and shall generate an alarm when a camera signal loss is experienced;
  - (g) a printer, with the capability to generate, instantaneously upon command, a clear, still, colour copy or photograph of the images depicted on a recording;
  - (h) recorders that can be selected by the control unit and which shall continuously record video and audio signals from the system;
  - (i) storage devices to record all surveillance footage, the quality of which shall allow for clear reviews of all recorded surveillance footage;
  - (j) sufficient back-up recorders to facilitate recordings when storage devices are changed or malfunctions occur, unless otherwise approved by the Board;
  - (k) monitors on which the views recorded by the surveillance system shall be displayed, and
  - (l) a time synchronisation accuracy or loss detector system, as approved by the Board.
- (4) Any satellite monitoring room other than the Office of the Board which receives gambling-related camera signals and which is not exclusively manned and controlled by surveillance employees shall, unless the Board otherwise approves, have the capability only to review camera signals transmitted from the surveillance room.
- (5) The surveillance system and its equipment shall be directly and securely wired and fitted in such a way so as to prevent tampering by employees or patrons.
- (6) The surveillance system shall be connected to an auxiliary power source capable of providing uninterrupted power to the surveillance system in the event of a power loss and the power supply shall provide sufficient lighting to operate the surveillance system.
- (7) The licence holder shall ensure that the following environmental controls have been adequately addressed to minimise the risk of any disaster occurring that may have an impact on any of its gambling-related systems, including the surveillance system:

- (a) fire suppression;
  - (b) emergency power systems which shall include UPS and emergency lighting;
  - (c) climate controls, and
  - (d) smoke detection.
- (8) Each workstation in the surveillance room shall consist of –
- (a) one monitor with audio capabilities which shall be at least 50 centimetres measured diagonally, and
  - (b) four monitors of which three shall be at least 30 centimetres measured diagonally, provided that one such monitor shall have the capability to display the Electronic Occurrence Book information.
- (9) Only high-resolution monitors shall be used in the surveillance room.
- (10) If the view from one camera is simultaneously displayed on monitors located in the Surveillance and Satellite Monitoring Rooms, a message shall be displayed on both or all such monitors that it is a duplicate view.
- (11) The surveillance system shall comply with the following camera to monitor ratios –
- (a) one monitor for every 200 slot machines on the casino floor;
  - (b) one monitor for every 15 cameras in the –
    - (i) table game areas;
    - (ii) Cash Desk areas;
    - (iii) count room and storage areas for uncounted drop, and
  - (c) one monitor for every 25 cameras in all other areas not prescribed in this Rule.
- (12) Each camera in the surveillance system located in a public area and PTZ cameras in the count rooms shall be placed behind a smoked glass dome or other device concealing the camera from view, as approved by the Board.
- (13) Each camera which forms part of the gambling surveillance system and which monitors gambling-related activities, shall be equipped with its own dedicated recorder or channel.
- (14) Cameras of different resolutions shall be used in different conditions and for different purposes in order to provide optimal clarity, provided that high-resolution colour cameras shall be used to cover all table games, count room and other gambling-related transaction areas where monetary value is handled.
- (15) All cameras forming part of the surveillance system shall record in colour.
- (16) The licence holder shall have the capability of creating first generation copies of surveillance recordings in a format approved by the Board.
- (17) All visual and audio recordings shall be made in real time, unless otherwise approved by the Board.
- (18) At the entrances leading to areas and offices covered by the surveillance system, signs shall be conspicuously displayed, stating that such areas are under constant audio and video surveillance.
- (19) All recordings shall be retained for a period of at least 7 days after the recording date, unless a longer period is required in terms of any other provision of the Act or by the Board, provided that all Count Room and Cash Desk transaction area footage shall be retained for a period of at least 14 days.
- (20) A licence holder shall retain all footage of interviews and gambling related disputes for a period of at least 90 days.
- (21) No original surveillance system recording shall be removed from the surveillance room, unless required as evidence in legal proceedings, without the written consent of the Board.

- (22) Surveillance system checks shall be performed at least once per shift to ensure that the surveillance system is functioning properly.
- (23) In the case of video recordings, an employee of the rank of at least surveillance supervisor shall ensure that the correct surveillance tapes are inserted into the video recorders each time that a tape change has been completed.
- (24) In the event that surveillance recordings are stored on a device, other than video tapes, the licence holder shall ensure that –
- (a) sufficient controls are in place to ensure the authenticity of recordings;
  - (b) any changes being made to the Surveillance system setup and recordings shall be recorded in such a manner as approved by the Board;
  - (c) the system has the capability to reconstruct or restore the data to prevent any loss of surveillance recordings, where applicable;
  - (d) any amendments to the setup of such system may only be authorised, in writing, by surveillance management personnel and only after the approval of the Board has been obtained, unless such changes are allowed in terms of the approved surveillance system plan;
  - (e) in terms of user access rights relating to the surveillance system and the setup thereof –
    - (i) the Surveillance Department shall maintain an up-to-date user profile per user group which shall be signed by the Surveillance Manager;
    - (ii) that access is restricted to authorised personnel only and in terms of the user profile referred to in this sub rule;
    - (iii) that access to such system and any amendments to such user access rights shall be authorised in writing and signed by the relevant applicant and the supervisor of such applicant to which the access relates prior to access rights being assigned or amended;
    - (iv) user access documentation shall clearly indicate the user-access-rights applicable to the employee;
    - (v) that employees shall not perform any duties on such system if such rights are not allocated to them in terms of the user profile.

## 9.6 Auditing function

- (1) The Surveillance Department shall perform –
- (a) weekly DVL audits, by at least a Surveillance Shift Manager, to ensure that all recordings archived for evidentiary purposes are accounted for and that the recordings represent a complete and proper account of the incident;
  - (b) monthly monitored Key Register audits to verify the accuracy and completeness of the registers in use and to confirm that all transactions were duly authorised;
  - (c) monthly controlled stationery audits to verify the accuracy and completeness of these registers and to confirm that all transactions were duly authorised;
  - (d) monthly audits for unused value and controlled stationery to verify the accuracy of the stock levels;
  - (e) monthly slot machine logic area seal register audits for correct stock levels, to verify the accuracy and completeness of the registers and to confirm that all transactions were duly authorised inclusive of the physical verification of the logic area seals utilised on the relevant slot machines;
  - (f) monthly playing card and dice audits to verify the accuracy of stock levels, the accuracy and completeness of registers and that all transactions were appropriately authorised;
  - (g) monthly audits on all journal entries on the EMS and gambling-related system database, to ensure the validity and correctness thereof;
  - (h) monthly EMS access audits to ensure that EMS access levels were allocated to authorised personnel and that the relevant documentation is accurate and complete;
  - (i) monthly access control audits, to ensure that the correct access levels were given to employees in terms of the licence holder's ICS, that only authorised employees entered secured areas and that the relevant documentation is accurate and complete, and
  - (j) monthly child care facility audits to ensure that all the legislative requirements are being adhered to, including time restrictions and relevant documentation to be completed.

- (2) The Surveillance Department shall investigate any irregularities found during the audits contemplated in this Rule and document the results of such investigations for inspection by the Board.
- (3) The Surveillance Department shall report any discrepancy found during the audits contemplated in this Rule to the head of the relevant department to which the discrepancy relates, on a weekly basis.
- (4) A duly authorised employee of the relevant department shall within ten (10) working days of receipt of the report referred to in sub-rule (3), in writing, furnish the Surveillance Department with a reason for such a discrepancy, why the controls failed to prevent such discrepancy and any action taken.
- (5) The abovementioned information shall be recorded into the relevant Electronic Occurrence Book record and shall indicate how the matter was concluded. The Surveillance Department shall ensure that all records are accurate and complete.

### **9.7 Surveillance Rooms**

- (1) The Surveillance rooms are the areas primarily utilised for the performance of duties limited to Surveillance personnel.
- (2) All surveillance monitoring equipment, other than approved satellite monitoring station equipment (excluding any such equipment located in the office allocated to the Board), that is utilised to record views obtained by the surveillance system shall be located in a room used exclusively for casino surveillance purposes and shall be referred to as the surveillance monitoring room.
- (3) The external entrance to the surveillance monitoring room shall be located away from the view of the general public and shall be restricted to Surveillance personnel only.
- (4) No person other than a person specified in the licence holder's ICS may enter the surveillance monitoring rooms or view surveillance signals or recordings without the approval of the Board.
- (5) The surveillance room equipment shall have total override capability over any other satellite monitoring equipment located in other offices.
- (6) The surveillance room shall be staffed and the surveillance equipment monitored at all times by trained surveillance personnel, who shall be employed exclusively for surveillance purposes, and shall possess adequate knowledge of all gambling games played at the casino as well as the Act and the licence holder's ICS.
- (7) The recorders and storage devices used for recording in the surveillance rooms and all satellite monitoring rooms with access to live gambling-related PTZ signals shall be secured in such a manner as to ensure that only the Surveillance Manager or Surveillance Shift Manager shall have access to such recorders and/or tapes.

### **9.8 Surveillance Department monitoring duties**

- (1) The Surveillance Department shall be responsible for the continuous audio and video recording of the following areas with sufficient clarity to identify all transactions, related verbal interactions, all persons and their movements –
  - (a) table games;
  - (b) Cash Desk windows;
  - (c) count rooms, storage areas for uncounted drop and the hard count room administration office;
  - (d) the surveillance room and other satellite monitoring stations with live PTZ signals;
  - (e) interview rooms where persons may be detained, questioned or interviewed by members of the Gambling Security or Surveillance Departments;
  - (f) monitored key (including duplicated keys) storage and transaction areas, and
  - (g) all other areas or activities that are required to be monitored and recorded in terms of the Act.
- (2) The Surveillance Department shall be responsible for the continuous video recording of the following areas with sufficient clarity to identify all persons and their movements –

- (a) Table game betting stations and electronic poker table games;
- (b) slot machines and SBGS terminals;
- (c) general Cash Desk areas;
- (d) Cash Dispensing Machine;
- (e) playing card and dice destruction areas;
- (f) IT file server areas, including HUB's , IT Room entrance and safes where back-up tapes are stored on site;
- (g) the bulk store, including all controlled and value stationery storage and issue areas;
- (h) playing card and dice storage and issue areas;
- (i) logic area seal storage and issue areas;
- (j) the DVL or VTL containing all the surveillance system recording and storage devices;
- (k) the entrances to the child care facilities, and
- (l) walkways adjacent to the casino floor.

(3) The Surveillance Department shall –

- (a) detect and immediately report to the appropriate supervisors the presence in the establishment of any person who is prohibited from entering the casino, and
- (b) detect and immediately report to the appropriate supervisors any instances of cheating, theft, embezzlement, and other illegal and unusual gambling-related activities monitored by the Surveillance Department.

### 9.9 Surveillance system requirements for slot machines

(1) Cameras recording slot machines shall be positioned in such a manner that –

- (a) every slot machine is visible from the drop box to the tower light or as otherwise approved by the Board;
- (b) opened machine doors do not obstruct the view of the inside of the slot machine cabinet;
- (c) patron activities at the slot machines may be clearly viewed;
- (d) a dedicated camera to monitor the outcome of each game in respect of physical roulette wheels linked roulette type slot machines;
- (e) all slot machine clearances for the entire route followed by the clearance team on the casino floor can be followed by means of PTZ cameras and the entire route followed by such team from the casino floor to the count room can be followed using static cameras, and
- (f) slot machine progressive displays must be clearly viewed or in cases when the camera view cannot accommodate the progressive display, a PTZ shall be utilised for obtaining periodic video visuals of the relevant progressive amounts.

(2) A maximum of eight slot machines installed immediately adjacent to one another shall be covered by one camera. Spaces between machines, layout of slot machines and other relevant factors shall be taken into account when calculating the required number of cameras.

(3) The surveillance system shall be interfaced with the EMS and shall monitor and record the following significant events, conditions and information on all slot machines and reflect on the titler –

- (a) authorised and unauthorised machine door, drop box cabinet door and canister door open and closed;
- (b) logic area door open and close;
- (c) bill validator removed and inserted;
- (d) power on and off;
- (e) connection or break in connection to EMS;
- (f) hopper empty;
- (g) coin jam;
- (h) all personnel gaining access to the slot machine, and
- (i) other significant events and conditions determined by the Board.

(4) An electronic monitoring system terminal shall be installed in the surveillance room, reflecting the significant event information contemplated in this Rule.



### 9.10 Surveillance system requirements for table games

- (1) A licence holder's surveillance system shall monitor and record clear unobstructed views of –
- (a) all table game areas with sufficient clarity to permit identification of all Dealers, patrons and pit personnel;
  - (b) dedicated cameras on all gambling table surfaces with sufficient clarity to permit identification of all chips, cash, card and dice values, the table layout, table numbers and the outcome of the game;
  - (c) dedicated cameras on all cards, card shoes, card shufflers or similar devices, discard holders or similar devices, the drop box slot and boxes used to place bets or cards;
  - (d) all roulette tables, to permit a view of the roulette wheel, the result of the game, the chip float, all chips in play, the Dealer and the hand movements, of all patrons and employees over the table;
  - (e) all pit desks, including any drawers, cabinets and safes contained therein;
  - (f) table game betting stations, in such a manner that –
    - (i) the betting station is visible from the drop box to the tower light or as otherwise approved by the Board;
    - (ii) opened doors do not obstruct the view to the inside of the table game betting station cabinet, and
    - (iii) patron activities at the table game betting stations may be clearly viewed, and
  - (g) all table game clearances for the entire route followed by the clearance team on the casino floor by means of PTZ cameras and in the back of house areas from the casino floor to the count room by means of static cameras, and
  - (h) table games progressive displays must be clearly viewed or in cases when the camera view cannot accommodate the progressive display, a PTZ shall be utilised for obtaining periodic video visuals of the relevant progressive amounts.
- (2) All gambling table activities, except for those taking place on roulette tables, shall be individually monitored and recorded by a dedicated high-resolution camera per gambling table.
- (3) Roulette tables, shall be monitored and recorded by at least two dedicated hi-resolution cameras to permit a general view of the table and the table game layout and wheel and to identify patrons.
- (4) In addition to the provisions of this Rule, there shall be one PTZ camera for every four gambling tables, which shall be used for general views, patron scans and close-up views.

### 9.11 Surveillance system requirements for count rooms, storage areas for uncounted drop and Cash Desks

- (1) A licence holder's surveillance system shall monitor and record clear unobstructed views of –
- (a) All areas, transactions and persons and their movements within the count rooms, administration offices and areas in which uncounted drop is stored, including walls, doors, scales or similar devices, wrapping or similar devices, coin sorters, vaults, safes, equipment, buckets, drop boxes, note counters, stacked currency and general work and counting surfaces;
  - (b) count rooms, which shall have the following equipment interfaced with the surveillance system and recorded with sufficient clarity to permit identification of all chips and cash,–
    - (i) contact alarms fitted to all exterior doors;
    - (ii) motion detectors to detect any activity inside the room;
    - (iii) PTZ cameras and such further dedicated cameras as are required to ensure the proper monitoring of the activities referred to in this Rule, and
    - (iv) panic alarms within easy reach of the Count Supervisor. The administration office shall be fitted with a separate panic alarm. The alarms, contemplated in this paragraph, shall be tested daily prior to the commencement of the count;
  - (c) the storage area for uncounted drop, which shall be fitted with contact alarms fitted to the doors, and

- (d) the Cash Desk, including patron windows, employee windows, note and coin counting devices, cash dispensing and related devices and fill and credit windows with sufficient clarity to permit identification of all chips, cash and hopper bags. The Cash Desk shall have –
- (i) panic alarms which shall be interfaced with the surveillance system and recorded, and
  - (ii) a dedicated camera on each patron or employee window to identify chip and token values and currency.
- (2) All the counting devices in the hard count room and soft count room and at the Cash Desk windows shall be interfaced with the surveillance system and shall reflect, in respect of the –
- (a) weigh scales in the hard count room, the weight and number of tokens or coins counted;
  - (b) weigh scales in the Cash Desk, the weight of tokens or coins contained in hopper bags;
  - (c) coin counters in the hard count room and Cash Desk, the value and denomination of tokens and coins counted;
  - (d) note counters in the soft count room, the value of notes counted, and
  - (e) note counters at the Cash Desk windows, the total rand value of the notes counted or the number of notes counted, provided that there is a procedure in place to verify the value of the notes counted under camera coverage.
- (3) All counting devices and alarms interfaced with the surveillance system are deemed to be part of the surveillance system.
- (4) The Surveillance Department shall ensure that the devices, referred to in this Rule, are properly interfaced with the surveillance system.
- (5) The count rooms shall be connected to an auxiliary power source capable of providing uninterrupted power in the event of a power loss and the power supply shall provide sufficient lighting.

#### 9.12 Investigation of variances

- (1) The Surveillance Department shall–
- (a) investigate all variances, where bill meter readings exceed the actual bills counted per slot machine on a daily basis, and
  - (b) investigate any variance in excess of R200.00 per gaming day or R1000.00 per week, where the metered coin drop of a slot machine, according to the EMS, exceeds the actual coin drop counted for such slot machine.
- (2) The Casino Administration Department shall inform the Slot Machine Department of any unresolved count variances referred to in this Rule, including incidents where the notes or tokens counted exceed the EMS meter readings in respect thereof, and a Slot Machine Technician shall perform tests on the relevant slot machine to determine whether it is functioning properly. The Surveillance Department shall be informed of the result of such tests.
- (3) If a variance is greater than R500.00 between the EMS metered hopper contents value and the actual hopper contents counted, the Surveillance Department shall ensure that the variance is investigated.
- (4) If there is any variance between a table opening value and the previous day's table closing value, the Surveillance Department shall ensure that such variance is investigated.
- (5) If drop can be determined or estimated for a particular table game, the rand amount of the drop recorded or estimated by such methods shall be reconciled with the actual drop on a daily basis and the Surveillance Department shall ensure that any unresolved drop variance is investigated in respect of which the estimated table game drop exceeds the actual table game drop counted by 5%.
- (6) If there is a variance between the respective counts and buy processes, the Surveillance Department shall ensure that such variance is investigated.
- (7) In the event that no evidence can be produced to substantiate the cause of the variances contemplated in this Rule, the EMS audit trails shall be scrutinised, reviews performed and such other measures taken by the Surveillance Department as may be necessary to resolve the variances.

- (8) The discrepancies found, as contemplated by this Rule, shall be reported, in writing, to the head of the relevant department to which the discrepancy relates and on a weekly basis the details of all actions taken to resolve the discrepancy and to mitigate the re-occurrence thereof, shall be documented and forwarded to the Surveillance Department.
- (9) The Surveillance Department shall be responsible to verify that the investigations contemplated in this Rule are performed by the relevant employees.
- (10) The results of investigations contemplated in this Rule and the remedial steps taken, if any, shall be documented and retained for Board inspection.
- (11) The Surveillance Department shall, on a weekly basis, inform Casino Administration of the outcome of the investigations contemplated in this Rule.

### 9.13 Surveillance Electronic Occurrence Book entries

- (1) The Surveillance Department shall maintain a Surveillance Electronic Occurrence Book capable of separately reporting on the events referred to in this Rule.
- (2) The Surveillance Department shall immediately be informed of and record the following events in the Surveillance Electronic Occurrence Book –
  - (a) slot machine hopper fills over R5000,00;
  - (b) slot machine spillage;
  - (c) hand pays and short pays;
  - (d) access to slot machine logic areas, including the reasons for RAM clears;
  - (e) slot machine tests performed, including set-up, hopper tests and testing money used, where applicable;
  - (f) malfunctions in respect of slot machine, electronic poker table game and table betting station prescribed error codes and significant events, as well as malfunctions in respect of any devices interfaced with the surveillance system;
  - (g) the removal of a slot machine from the casino floor;
  - (h) table game fills and credits;
  - (i) table game opening and closing;
  - (j) the marking-up of colour chips above the table minimum;
  - (k) table game and slot machine patron disputes, including management decisions made in respect thereof;
  - (l) unclaimed credits, jackpots and sleeper bets found;
  - (m) unscheduled access to monitored keys, including duplicate keys;
  - (n) table game soft, slot machine bill and slot machine hard clearances and counts, including emergency clearances and counts;
  - (o) the transfer of value items during the count process;
  - (p) information relating to observation duties performed;
  - (q) surveillance system checks;
  - (r) access to the IT file server room by persons not authorised in terms of the operators ICS;
  - (s) the outcome of the six monthly UPS testing;
  - (t) breaches of the provisions of the Act or the operator's ICS;
  - (u) the testing of contact alarms and counting devices and interfaces in the count rooms, and
  - (v) all instances of access to and exit from the count room and storage areas utilised for uncounted drop.
- (3) An employee of the rank of at least Surveillance Shift Manager shall ensure the sound, accurate and systematic record keeping of all aspects of the surveillance operations and functions as referred to in sub-rule (2).
- (4) In the event of a system malfunction and/or power failure that affects the recording of any information that is required to be recorded in terms of the Act, the licence holder shall immediately record such information by another means.
- (5) If it is impossible for the licence holder to comply with the provisions of this Rule, the licence holder shall immediately notify the Board of such non-compliance.

- (6) Each malfunction shall be repaired within 24 hours of the occurrence thereof.
- (7) If a malfunction contemplated by this Rule is not repaired within 24 hours, the licence holder shall immediately inform the Board in writing, setting forth the reason for the delay in repair.
- (8) In the event of a contravention of the Rules or a provision of the ICS the Surveillance Department shall inform a senior representative of the relevant department of such contravention.
- (9) The representative contemplated in this Rule shall within ten (10) days of receipt of any information referred to in this Rule, in writing, indicate
  - (a) the reason for such contravention;
  - (b) the primary control that was supposed to have detected such discrepancy and why the controls failed to detect such contravention, and
  - (c) all actions taken to mitigate the re-occurrence of a similar contravention.
- (10) The information contemplated in this Rule shall be recorded into the relevant Electronic Occurrence Book and shall indicate how the matter was finalised. The Surveillance Department shall ensure that all records are accurate and complete.

**CHAPTER X**  
**INFORMATION TECHNOLOGY ("IT") DEPARTMENT**

**10.1 ICS**

(1) At a minimum, the licence holder's IT Department ICS shall contain provisions and procedures relating to –

(a) EMS and any other gambling-related system specifications including SBGS, relating to–

- (i) network installation;
- (ii) a cabling diagram;
- (iii) a flow chart of gambling-related system information;
- (iv) types of operating systems;
- (v) application programs;
- (vi) stand-alone computer terminals;
- (vii) communication interfaces;
- (viii) front end processors and floor servers;
- (ix) file servers, and
- (x) database;

(b) the flow of gambling-related system information, including –

- (i) SBGS terminals;
- (ii) slot machines;
- (iii) table games;
- (iv) Cash Desks;
- (v) count rooms, and
- (vi) LAP and WAP progressive jackpots;

(c) system access, including –

- (i) user application;
- (ii) pre-defined user groups and user rights;
- (iii) authorisation;
- (iv) registration;
- (v) access rights;
- (vi) verification;
- (vii) re-installation;
- (viii) lock-out of unauthorised users;
- (ix) deletion of retired users;
- (x) password control, and
- (xi) electronic signatures used, where applicable;

(d) detection of unauthorised user lock-outs and unusual transactions;

(e) functional changes to gambling and related systems and data, including –

- (i) authorisation for such changes;
- (ii) modifications and alterations;
- (iii) the completion and filing of documentation;
- (iv) system maintenance, and
- (v) the manner of back-up prior to changes;

(f) audit trails, including those required in respect of –

- (i) system upgrades;

- (ii) functional changes;
  - (iii) user access rights;
  - (iv) user lock-outs;
  - (v) monthly password changes;
  - (vi) changes to gambling-related data, and
  - (vii) changes to progressive jackpots;
- (g) back-up control, including –
- (i) the manner in which the back-up is performed;
  - (ii) the back-up documentation required;
  - (iii) the completion and review of registers or recording documentation;
  - (iv) daily, weekly and monthly back-ups, where applicable;
  - (v) storing of back-ups;
  - (vi) data warehousing, where applicable, and
  - (vii) quarterly testing of recovery procedures and the recording thereof;
- (h) a disaster recovery or business continuity plan, including provision for UPS, generators and system failure;
- (i) programming of access control cards, where applicable;
  - (j) physical access to the file server room, computers, terminals, Hub's and patch panels;
  - (k) the use of modems and the controls in respect thereof;
  - (l) access by the Board to gambling-related computerised systems;
  - (m) in respect of each gambling-related department –
- (i) the hardware, software and data files, including the restriction of access thereto;
  - (ii) information on the computer systems, including the provision of audit trails on such systems, and
  - (iii) computer systems, including application software, through the use of passwords or other approved means;
- (n) system documentation to be maintained, which shall include descriptions of both hardware and software and operator manuals, and
- (o) the implementation, modification, upgrading or alteration of any gambling-related computer system or software.

## 10.2 IT Department

- (1) The IT Department shall –
- (a) install and maintain computer hardware, communications equipment and software used in the conduct of the casino;
  - (b) install and maintain computer tapes, disks, and other electronic storage media containing data relevant to the operation of the casino;
  - (c) install and maintain access codes and other data-related security controls used to ensure appropriate limited access to computerised systems and the system-wide reliability of data, and
  - (d) perform such other duties and responsibilities pertaining to the IT Department as may be assigned to it by the licence holder's ICS and the Act.
- (2) The IT Department shall continuously monitor the EMS, table game information system and gambling-related systems to ensure the proper functioning and integrity of such systems.
- (3) All Rules relating to the management and control of the EMS shall, with the necessary changes, apply to SBGS.
- (4) The file server rooms shall be connected to an auxiliary power source capable of providing uninterrupted power to all the gambling-related system devices in the event of a power failure.
- (5) The IT Administrators or duly authorised personnel shall, on a weekly basis, review any computerised security registers kept by the licence holder for evidence of –

- (a) user lock-outs, provided that the system shall deny user access after three unsuccessful attempts to log-on and only a representative of the IT department or duly authorised personnel shall be able to re-instate such a user's access to the system;
- (b) unauthorised changes to system records and unauthorised access to data files, other than through system menus, and
- (c) any other unusual or irregular transactions,

regarding EMS, SBG System, Table Game Information System and Electronic Occurrence Book and shall immediately report such occurrences as are identified in respect of (b) and (c) in writing to the manager of the relevant department and the Surveillance Department.

### 10.3 Control of electronic information

- (1) If a licence holder utilises computerised systems to record and control gambling-related transactions, such systems shall –
  - (a) permanently record all transactions and information entered;
  - (b) not allow for the alteration of any records without a full audit trail of such alterations, unless otherwise approved by the Board, and
  - (c) be able to generate reports in respect of all information recorded on the source documents and full details of transactions.
- (2) Access to all computer-generated documentation and reports shall be restricted to authorised personnel with no incompatible functions.
- (3) Computer-generated reports shall include, without limitation –
  - (a) system exception information;
  - (b) personnel-access listing, which shall provide for –
    - (i) the names of employees;
    - (ii) employee company ID's, or a suitable alternative, and
    - (iii) a listing of the functions individual employees may perform or a suitable alternative means of identifying such functions.
- (4) An audit trail shall be maintained in respect of all changes made to an individual's access to the gambling-related systems and shall, unless otherwise approved by the Board, contain –
  - (a) the name of the employee who effected the change;
  - (b) the name of the individual in respect of whom the change was made;
  - (c) the nature of the change, and
  - (d) the date and time that such change was effected.
- (5) Where access rights are amended as a result of a system upgrade, such changes shall be documented on the audit trail, or in terms of any other method, as approved by the Board.

### 10.4 User access rights

- (1) No person shall have or be allowed unauthorised logical access to –
  - (a) computers and terminals located in gambling areas;
  - (b) gambling-related software, system structure or configuration;
  - (c) gambling-related source documents, and
  - (d) gambling-related data files, excluding test data.
- (2) Whenever a person, who is not authorised in terms of the licence holder's ICS, accesses the file server room, the Surveillance Department shall be informed and such access will be recorded in the Electronic Occurrence Book.

- (3) The licence holder shall maintain an up-to-date user profile per user group which shall be signed by the relevant heads of the departments to which the access relates and a representative of Casino Administration.
- (4) The EMS shall be capable of producing user access rights reports for all gambling-related systems reflecting –
  - (a) the name of the employee;
  - (b) the position of the employee, and
  - (c) a listing of the functions employees may perform per position or a suitable alternative means of identifying such functions.
- (5) Access to all computer-generated documentation and reports shall be restricted to authorised personnel with no incompatible functions.
- (6) Access to any gambling-related software and any amendments to such user access rights shall be authorised in writing and signed by the relevant applicant and the supervisor of such applicant to which the access relates prior to access rights being assigned or amended.
- (7) A representative of Casino Administration shall verify the user access rights assigned and amended and shall sign the user access documentation unless otherwise prescribed in the approved ICS.
- (8) The user access documentation shall clearly indicate the user access rights applicable to the employee.
- (9) Where user access rights are amended, such changes shall be logged on the audit trail, unless otherwise approved by the Board.
- (10) Employees shall not perform any duties on a gambling or gambling-related system if the applicable rights are not allocated to them in terms of the provisions of this Rule.

#### **10.5 Modems**

- (1) If remote dial-up to any gambling-related system or equipment is allowed in respect of software support, the IT department shall maintain an access register which shall reflect –
  - (a) the name of the employee authorising modem access;
  - (b) the name of the person accessing the system or equipment;
  - (c) the reason for modem access;
  - (d) a description of the work performed;
  - (e) an audit trail of all gambling-related software or files accessed, where applicable, and
  - (f) the date, time, and duration of access.
- (2) Supervisory personnel shall authorise, in writing, all allocations of modem access, as prescribed in the operators ICS.

#### **10.6 Electronic storage media**

- (1) Documents may be scanned or directly stored to electronic storage media; provided that–
  - (a) the electronic storage media must contain the exact duplicate of the original document;
  - (b) all documents stored on electronic storage media shall be maintained with a detailed index reflecting the department of origin and date of generation of the document and shall be readily available upon request by the Board;
  - (c) on request by the Board, hardware shall be provided in order to perform auditing procedures, and
  - (d) controls shall exist to ensure the accurate reproduction of the records, up to and including the printing of stored documents used for auditing purposes.
- (2) If source documents and summary reports are stored on re-writeable electronic storage media, the electronic storage media may not be relied upon for the performance of any audit procedures, and the original documents and summary reports shall be retained.



### 10.7 Password protection

- (1) All access to the EMS and other gambling-related systems shall be password-controlled and only authorised personnel shall be privy to such passwords.
- (2) Employees directly involved with gambling-related transactions shall be precluded from having unrestricted access to the secured computer areas.
- (3) Passwords shall be controlled as follows, unless otherwise provided for in these Rules –
  - (a) each user shall have a personal password;
  - (b) all passwords shall be changed at least every 31 days, with such changes being logged, and
  - (c) the system shall preclude an individual from using the same password for more than one month in any consecutive three-month period.
- (4) The storage of passwords and personal identification numbers shall be in an encrypted form.
- (5) A program shall be available which shall list all registered users on the EMS and other gambling-related systems, including their privilege and access levels.
- (6) Employees shall not divulge their passwords to any other persons.
- (7) Employees shall not allow other persons to perform any functions on the EMS or other gambling-related system on their respective user access profiles.
- (8) Employees shall ensure that they log off the EMS or gambling-related system whenever the terminal is unattended.

### 10.8 Board access to gambling-related systems

- (1) All gambling-related systems shall provide for comprehensive search mechanisms to enable the examination of any event or data captured on such systems.
- (2) The mechanisms shall provide for searches by date, time, event, device, terminal, user or any combination thereof.
- (3) The Board shall be able to log onto a computer to execute external audit and interrogation programs.]
- (4) Any access to the gambling-related systems by the Board shall be limited to read only access to all data, provided that an officer of the Board may copy any report comprising the read-only information.

### 10.9 User interface documentation and reporting

- (1) A licence holder shall transfer documentation pertaining to significant events, statistical data or other information required by the Board to the Board at such intervals as the Board may determine.
- (2) The permitted methodologies for transfers contemplated in this Rule shall be determined by the Board and may include the following –
  - (a) hard copy report via facsimile;
  - (b) storage on diskette;
  - (c) dial-up data transfer;
  - (d) secure e-mail, and
  - (e) data transfer via dedicated link.
- (3) The Board may from time to time specify the format of any data required.

**10.10 Link to Board's gambling-related systems**

- (1) The licence holder shall provide and maintain such electronic access or link of its gambling-related systems to the the Board, as the Board may from time to time require.
- (2) The licence holder shall provide all the necessary equipment to establish, maintain and secure the access or link and such other equipment as the Board may from time to time require.
- (3) The licence holder shall supply the authorised officers of the Board with the software and training necessary to enable such authorised officers to link to, and log onto the licence holder's systems.
- (4) The link referred to in this Rule shall be utilised either for logging onto the licence holder's systems interactively or downloading data as frequently as may be required or specified by the Board.

**10.11 Back-up of gambling-related data**

- (1) The IT Department shall –
  - (a) on a daily basis, electronically back-up all gambling-related data;
  - (b) ensure that the significant event audit trail is stored off-site for a period of at least six months and financial information for a period of at least five years;
  - (c) assign unique reference numbers to all back-up data tapes or media, and
  - (d) document or log each time a back-up is performed and taken to the off-site storage facility.

**10.12 Data restore and UPS testing**

- (1) The IT Department and Casino Administration shall, on a quarterly basis, restore backed-up data and compare the data to the daily EMS reports to verify the accuracy thereof.
- (2) The licence holder shall, on a six monthly basis, test the UPS to verify that there is no loss of power to the following areas –
  - (a) IT file server room;
  - (b) Surveillance monitoring room and VTL, and
  - (c) Count room lighting.
- (3) The results of the data restore and UPS tests, including any remedial steps taken, shall be documented and signed by the employees involved in the tests.
- (4) The test documentation shall be retained for a period of at least two years calculated from the date of generation thereof, for inspection by the Board.

**10.13 Environmental Controls**

- (1) The licence holder shall ensure that the following environmental controls have been adequately addressed to minimise the risk of any disaster occurring that may have an impact on any of its gambling-related systems, including the surveillance system:
  - (a) fire suppression;
  - (b) UPS;
  - (c) emergency power systems;
  - (d) climate controls;
  - (e) smoke detection, and
  - (f) emergency lighting.

**CHAPTER XI**  
**WIDE AREA AND LOCAL AREA PROGRESSIVE JACKPOTS**

**11.1 WAP ICS**

- (1) At a minimum, a WAP administrator's ICS shall contain WAP-related standards, procedures and controls relating to –
- (a) the establishment of a WAP-system;
  - (b) the creation and maintenance of provision accounts;
  - (c) the reconciliation of meters, including jackpot meters and meters used to calculate incremental values;
  - (d) the reconciliation of all contributions towards WAP jackpots, including the calculation and allocation of any interest earned on such contributions;
  - (e) the payment to and withdrawal from the WAP jackpot provision account of funds;
  - (f) the verification of WAP jackpots;
  - (g) the generation of manual progressive jackpot hits;
  - (h) the authority required to authorise jackpot payments and other WAP-related transactions;
  - (i) the investigation of any variances or other WAP-related anomalies;
  - (j) the maintenance of the WAP-system;
  - (k) the control and restriction of any physical and logical access to the WAP-system, including the ability to change data;
  - (l) the determination of system accuracy;
  - (m) the limiting or capping of any WAP jackpot;
  - (n) the cessation, withdrawal or transfer of any WAP jackpot;
  - (o) the procedures to be followed in the event of a system malfunction;
  - (p) the backup and disaster data recovery procedures to ensure the continuity of the WAP-system and security of data;
  - (q) the securing and controlling of all files and data, and
  - (r) the reports used to document, verify and reconcile the procedures referred to in this Rule.

**11.2 Application to operate a WAP-system**

- (1) A WAP administrator shall, in writing, apply to the Board for approval prior to the installation of a WAP-system at a casino if such an operator is not the holder of the licence for the premises in which it intends to install such a WAP-system.
- (2) The application referred to in this Rule shall contain –
- (a) a detailed design of the WAP-system, including the sites that will be linked to the system, the number of slot machines or table games and the method of communication to be used;
  - (b) a copy of the WAP administrator's ICS;
  - (c) a copy of the WAP administrator's organisational structure and jobs compendium;
  - (d) a copy of the LOC's for the gambling devices that will be used in the operation of the WAP-system, and
  - (e) a signed copy of the agreement between the WAP administrator and the relevant licence holder, signed, amongst others, by representatives of the Surveillance, Slot Machine or Table Game, IT and Casino Administration Departments consenting to the installation of such a WAP system.
- (3) A WAP administrator shall not commence with the operation of a WAP-system prior to receiving written approval from the Board, which approval shall only be issued after the Board is satisfied that the WAP-system complies with the provisions of the Act and is functioning properly.
- (4) A WAP administrator shall not alter its approved WAP-system without the prior written approval of the Board.
- (5) The provisions of this Rule shall not preclude the performance of any routine maintenance on the WAP- system; provided that the WAP-system or any equipment used therein or in the maintenance thereof shall not deviate from the system or equipment approved by the Board.
- (6) A WAP administrator shall maintain a detailed register of all alterations or maintenance performed on the WAP-system and its equipment, including –

- (a) the date and time of such alterations or maintenance;
- (b) a description of the alterations or maintenance, and
- (c) who performed such alterations or maintenance.

### **11.3 WAP General requirements**

- (1) All the organisational structure, jobs compendium, surveillance, security, slot machine, table game, electronic monitoring system, information technology, financial and administrative provisions contained in the Rules shall, with the necessary changes, apply to a WAP administrator.
- (2) All slot machines or gambling tables linked to a WAP-system shall have the same RTP percentage.
- (3) The WAP jackpot shall bear the same name at all licensed premises where the jackpot is offered for play.
- (4) The current value of a WAP jackpot shall be prominently displayed on or in the immediate vicinity of the gambling devices to which the WAP jackpot relates.
- (5) All slot machines linked to a WAP jackpot shall contribute at the same incremental percentage to such WAP jackpot.
- (6) A WAP jackpot shall have the same base value at all the licensed premises at which it is offered for play.
- (7) A WAP administrator shall on a monthly basis ensure that all gambling devices linked to a WAP system are functioning properly.
- (8) A WAP administrator shall on a daily basis ensure that the correct WAP jackpot values are displayed on every site linked to the WAP-system.
- (9) The data transferred between the casino premises and the central computer shall be encrypted to prevent tampering.
- (10) The central computer shall be located within the Republic of South Africa.
- (11) In addition to the above, a WAP administrator shall insofar as it performs its functions in a casino, comply with such a licence holder's ICS.

### **11.4 Access to WAP gambling-related areas and information**

- (1) A WAP administrator shall give the Board and its authorised officers immediate access to any gambling-related area, hardware or software upon proof of identification, including the central computer or any other area in or upon which any part of the WAP-system is located.
- (2) A WAP administrator shall supply the Board with any information or records it requires in respect of the WAP-system or the operation thereof, within a reasonable period specified by the Board.

### **11.5 WAP communication and power supply**

- (1) The WAP central computer shall be connected to an uninterrupted power supply (UPS), which shall be capable of supplying uninterrupted power for an unlimited period in the event of a power failure.
- (2) The WAP jackpot game shall become inoperable in the event of a communication error between the gambling devices and the site jackpot controller.
- (3) In the event of a communication error between the site jackpot controllers and the WAP central computer, the individual site jackpot controllers may operate independently. When communication with the WAP central computer is restored, the progressive values at the different licensed premises shall be updated immediately.
- (4) The WAP jackpot game shall immediately disable when the site controller memory has reached full capacity.

#### **11.6 Contributions to and reconciliation of WAP jackpot provisions account**

- (1) The full amount of any deductions from the drop of a gambling device in order to provide for the payment of a WAP jackpot shall be paid into a jackpot provisions account.
- (2) The jackpot provisions account referred to in this Rule shall be used exclusively for the purposes of receiving, managing and withdrawing contributions towards the payment of a WAP jackpot.
- (3) The WAP administrator shall separately provide for the financing of the base value of a jackpot and the cumulative portion thereof.
- (4) Every six months, starting from the day that a WAP administrator receives the first contributions towards the WAP jackpot amount, the WAP administrator shall reconcile the value of the WAP jackpot provisions account to the actual contributions received and amounts paid as winnings.
- (5) Any amount in excess of one and a half times the base value of a WAP jackpot in the base value provisions account shall be returned to the licence holders that contributed towards such a provisions account proportionally to its contribution.
- (6) The provision account referred to in this Rule shall be audited by a recognised audit company on an annual basis.

#### **11.7 WAP security**

- (1) If the central computer utilised by a WAP administrator is located in this Province, such WAP administrator shall prior to commencing with the operation of a WAP system furnish the Board with a security referred to in the Act.
- (2) The amount of the security shall be equal to one and a half times the base values of all WAP jackpots operated on such a central computer.

#### **11.8 LAP jackpot general requirements**

- (1) All slot machines, SBGS terminals or gambling tables linked to a LAP-system shall have an equal probability to win a jackpot.
- (2) The current value of a LAP jackpot shall be prominently displayed on or in the immediate vicinity of the gambling devices to which the LAP jackpot relates.
- (3) All slot machines and SBGS terminals linked to a LAP jackpot shall contribute at the same incremental percentage to such LAP jackpot.
- (4) A LAP jackpot shall have the same base value for all the slot machines and SBGS terminals linked to such LAP jackpot.
- (5) The Slot Machine Department shall on a regular basis, perform tests to ensure that all gambling devices linked to a LAP system are functioning properly, as prescribed in the approved ICS.
- (6) A licence holder shall, on a daily basis, ensure that the correct LAP jackpot values are displayed, any discrepancies shall be reported to the Slot Machine Department to investigate and test the LAP system to ensure that it functions correctly.
- (7) The jackpot controllers shall be located in secure areas as to prevent any unauthorised access thereto.
- (8) No manufacturer may host a SBGS LAP on any license holder premises, without the approval of the Board.

#### **11.9 Limiting and transfer of progressive values**

- (1) A WAP or licence holder may limit a progressive jackpot to an amount equal to or greater than the current amount of the jackpot at the time of the imposition of such a limit.

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- (2) In the event of the imposition of a limit, the licence holder shall prominently display a notice, informing the public about the imposition of such a limit, on or in the immediate vicinity of the gambling devices to which the progressive jackpot relates.
  - (3) An operator shall not reduce the amount of a LAP or WAP jackpot or otherwise reduce, withdraw or discontinue a LAP or WAP jackpot, unless –
    - (a) a player wins such jackpot;
    - (b) the jackpot is adjusted to correct a malfunction or to prevent the display of an amount greater than a limit imposed in terms of this Rule, and the licence holder documents such adjustment and the reasons therefore, or
    - (c) the jackpot is decommissioned.
  - (4) If a WAP jackpot is decommissioned at any casino, the WAP administrator shall calculate the pro rata contribution to the WAP jackpot, including contributions made to the base value, the incremental value and any interest earned on such contributions and shall return the total amount so calculated to the relevant licence holders.
  - (5) A licence holder shall upon receipt of the amount returned allocate the full amount received from the WAP administrator to other jackpots offered at its casino.
  - (6) If a LAP jackpot is decommissioned, the licence holder shall calculate the incremental value of the LAP jackpot and shall transfer the total amount so calculated to another progressive jackpot on the casino floor.

## **CHAPTER XII**

### **INTERNAL AUDIT RULES**

#### **12.1 Internal audit function**

- (1) The licence holder shall appoint an independent internal auditor to perform the internal audit function prescribed by the Rules.
- (2) The internal audit function shall –
  - (a) on a yearly basis, review and evaluate the licence holder's ICS in order to determine the effectiveness and adequacy thereof;
  - (b) on a six-monthly basis:
    - (i) assess the licence holder's compliance with its ICS and the Act;
    - (ii) assess the effectiveness and adequacy of the day-to-day gambling-related operations of the Surveillance Department;
    - (iii) assess the effectiveness and adequacy of the day-to-day gambling-related operations of the IT Department;
    - (iv) compile and maintain an operational risk profile in respect of the prescribed mandatory departments;
    - (v) determine whether the gambling and gambling-related financial and operating information is accurate, current, timeously generated, complete, valid and reliable, including the reconciliation of such information with tax returns submitted to the Board;
    - (vi) determine whether gambling-related taxes are current and accurate;
    - (vii) assess the integrity, adequacy, accuracy and reliability of all gambling-related information and systems;
    - (viii) insofar as it is relevant, assess the compliance with any operational conditions of the licence imposed by the Board, and
    - (ix) report any contravention of the licence holder's ICS or the Act identified during any audit.
- (3) When the licence holder utilises an external auditing company to perform the internal audit function, such company may not also perform the external auditing function.

#### **12.2 Reporting requirements**

- (1) The head of the internal audit function shall report directly to the board of directors of the licence holder or a committee of the board of directors.
- (2) The internal audit function shall, within 28 days from the date of the conclusion of its yearly and six-monthly audits, submit and present its audit reports to the Office of the Board.
- (3) The internal audit report shall address –
  - (a) all the areas of responsibilities referred to in Rule 12.1(2), and
  - (b) any weakness in the licence holder's ICS or the Act.
- (4) In addition to the provisions of this Rule the internal audit function shall submit reports to the Board relating to –
  - (a) gambling and gambling-related operations and activities, and
  - (b) instances of possible non-compliance with the provisions of the licence holder's ICS or the Actwithin 14 days of completing such reports.
- (5) The Board may approve different reporting lines to those prescribed in this Rule, upon demonstration by the licence holder that there are no incompatible functions.
- (6) All reports shall be in writing and kept for a period of at least two years calculated from the date of generation thereof.

### **CHAPTER XIII** **GENERAL PROVISIONS**

#### **13.1 Language to be used**

- (1) English shall be the only language used in any gambling-related transaction.

#### **13.2 Asset register**

- (1) A licence holder shall maintain an asset register in respect of the gambling and gambling-related devices specified in the Act.
- (2) Each item referred to in this Rule shall be assigned a unique asset number, which shall be permanently attached to such item while it is in the possession of the licence holder.
- (3) Additional gambling and related devices utilised for training purposes or spares shall be placed in a secured area not in view of the public.

#### **13.3 Gambling and related devices**

- (1) A licence holder shall maintain all gambling and gambling-related devices in a good working condition in accordance with the approved norms and standards for such devices.
- (2) The licence holder shall not use or allow any gambling game to be played on or by means of a gambling or gambling-related device which has not been approved by the Board.
- (3) The following gambling and gambling-related devices shall be approved by the Board prior to being utilised in a gambling game –
- (a) slot machine hardware and software
  - (b) SBGS, including terminals;
  - (c) the EMS;
  - (d) table game information systems;
  - (e) gambling-related systems;
  - (f) progressive jackpot controllers;
  - (g) gambling table layouts;
  - (h) electronic poker tables;
  - (i) playing cards;
  - (j) dice;
  - (k) table game betting stations;
  - (l) roulette wheels;
  - (m) card shufflers, and
  - (n) such other gambling and gambling-related devices as the Board may specify from time to time.

#### **13.4 Additional gambling devices**

- (1) A licence holder may, on its licensed premises, possess an additional number of gambling devices, which –
- (a) shall not exceed 20% of the total number of gambling devices authorised to be exposed for play in its licence;
  - (b) may not be utilised to conduct a gambling game, and
  - (c) shall not be located on the gambling floor.

#### **13.5 Unclaimed credits and jackpots**

- (1) When unclaimed credits or jackpots are found on the casino floor, the Slot Machine or Gambling Security Departments shall be informed; provided that in the event of an unclaimed table progressive being found, the Table Game or Security Departments shall be informed.



- (2) Unclaimed tokens or coins cashed out on a slot machine shall be taken to the Cash Desk and verified by the Cashier. In a patron card environment, unclaimed credits shall be cashed out to restricted patron cards allocated for unclaimed credits, and taken to the Cash Desk.
- (3) The phrase "unclaimed jackpot" shall be recorded on a jackpot and credit win slot short, as well as on a table progressive payout form, where applicable, and the document shall be completed in the prescribed manner. The original copy of the unclaimed slot short and table progressive payout form shall be handed to the Cashier.
- (4) When a patron registers a late claim, the Slot Machine or Table Game Departments shall investigate the legitimacy of the claim and the Surveillance Department shall be informed in the event of a dispute.
- (5) A Slot Machine Supervisor or Table Game Supervisor may authorise the payout of a late claim.
- (6) When a technical short pay slot short is issued to a patron in a smart card environment, the corresponding credits which are cashed out at a later stage shall be added to the monthly unclaimed credit and jackpot value.
- (7) A representative of either the Slot Machine or Table Game Department shall record the relevant detail, pertaining to the unclaimed credits or jackpots, on the documentation as prescribed by this Rule.
- (8) Access to the unclaimed credit and jackpot information shall be restricted to authorised personnel only.
- (9) Unclaimed credits and jackpots shall not be deducted for the purposes of calculating gambling tax prior to being claimed by a patron.

### **13.6 Gambling-related promotions and tournaments**

- (1) A licence holder shall submit all rules and controls in respect of gambling-related promotions and tournaments to the Board for approval prior to conducting such promotion or tournament.
- (2) Tournament games software shall be installed independent of any other game software for tournament purposes and must be separately reported on the EMS.

### **13.7 Disputes**

- (1) The Surveillance Department shall be informed of all gambling related disputes, and shall –
  - (a) record the details of the dispute and the outcome thereof in the Surveillance Electronic Occurrence Book, and
  - (b) retain the recording of the incident for a period of 90 days.

### **13.8 Management decision**

- (1) If a licence holder makes a payout of R1000-00 or greater to a patron pursuant to a management decision, such payout shall be recorded in a manner to ensure that the portion of the payout, not legally owed to the patron, shall not constitute a permissible deduction for the purposes of calculating gambling revenue.
- (2) A decision made by management not to retrieve erroneously affected payouts of R2000-00 or greater shall constitute a management decision.
- (3) The detail of such payout shall be recorded by the management personnel on a Management Decision Payout Sheet, referred to in this Rule.
- (4) A copy of the completed Management Decision Payout Sheet shall, be forwarded to Casino Administration.
- (5) The Surveillance Department shall be informed prior to any payout being made pursuant to a management decision and shall record the details of such transaction in the Surveillance Electronic Occurrence Book.

**13.9 Office accommodation for the Board**

- (1) A licence holder shall provide at its casino establishment suitable office accommodation to be utilised by officials of the Board.
- (2) The office shall provide for –
  - (a) furnished work stations for at least six employees of the Board;
  - (b) access to the licence holder's surveillance system, including the Electronic Occurrence Book, two monitors with reviewing capabilities, PTZ capabilities, and
  - (c) a computer with read-only access to the licence holder's EMS and other gambling -related systems, including a printer.
- (3) The entrance to the office allocated to the Board shall be continuously monitored by the Surveillance Department.
- (4) No person shall, without the consent of the Board or an authorised officer of the Board, monitor, record or copy any activity, document or information in the Board office.
- (5) The office accommodation allocated to the Board may only be utilised by the licence holder when it is not in use by the Board and only after approval has been obtained from the Board.
- (6) Access to the surveillance system, Electronic Occurrence Book and EMS from the office allocated to the Board shall be restricted to authorised casino personnel and authorised officers of the Board.

**13.10 Persons under the age of eighteen years**

- (1) A licence holder shall ensure that no person under the age of eighteen years has access to any area in which gambling takes place, by –
  - (a) at every point of physical access to any such area, prominently displaying signage to the effect that no persons under the age of eighteen years are permitted access beyond such point, and
  - (b) placing full-time security personnel at every point of physical access to any such area continuously to monitor all access thereto, which personnel shall be empowered –
    - (i) to make enquiry of any person seeking access to any such area to disclose his or her age;
    - (ii) to request an identity document, passport or other satisfactory official documentary proof of the age of any person seeking access to any such area, and
    - (iii) where no proof is produced pursuant to paragraph (ii), and there are reasonable grounds to suspect that a person seeking access to any such area is under the age of eighteen years, to decline such person admission to such area.
- (2) A licence holder shall take all reasonable steps to ensure that no person under the age of twelve years shall be present in any public area on the licence holder's licensed premises that is not demarcated for family entertainment in respect of which no supervision is provided by the licence holder and in which members of the public may reasonably be expected to be found, unless such person is supervised by another person of at least eighteen years of age.
- (3) A licence holder shall ensure that all areas of its licensed premises are regularly patrolled by security personnel for the purposes of compliance with sub-rule (2).
- (4) In the event that –
  - (a) persons under the age of twelve years are found unsupervised in an area contemplated in sub-rule (2), or
  - (b) children placed in a child-care facility remain in such facility for a period in excess of four hours,

the licence holder shall –

- (i) where applicable, immediately procure that such unsupervised persons are removed to an appropriate and safe environment;
- (ii) take all reasonable steps to locate the person responsible for such unsupervised person by reasonable means which may include paging boards, public announcements, contacting the parents or guardians by way of cellular phones or pagers or such other alternatives as the Board may require or approve;
- (iii) where the person responsible for such unsupervised person cannot reasonably be located, take further reasonable steps to ensure the safety of the unsupervised person and the resolution of the matter, and
- (iv) shall record the actions taken to locate such parents or guardians.

### 13.11 Use and control of child-care facilities

- (1) A licence holder which offers a child-care or similar facility shall at all times ensure that such facility –
  - (a) is maintained in a clean and hygienic condition;
  - (b) has appropriate access and exit controls to ensure the safety of children, and
  - (c) is appropriately staffed, in accordance with demand, by a sufficient number of suitably qualified persons.
- (2) The abovementioned child-care or similar facility shall cater for children up to the age of twelve (12) years.
- (3) No child under the age of 12 years, other than a legal dependent of an employee of the licence holder or a guest frequenting the premises for purposes other than gambling, shall be cared for at any facility contemplated in this Rule for a period in excess of four (4) hours in any calendar day.
- (4) The child-care facility shall be appropriately certified by the relevant Provincial Government Department and such a certificate shall be prominently displayed in a conspicuous place inside the child care facility.
- (5) A licence holder shall ensure that patrons placing a child in a facility contemplated in this Rule complete and sign a document containing the following information –
  - (a) the date that the child is placed in the facility;
  - (b) the time that the child is placed in the facility, which may not be opened before 06H00;
  - (c) the time that the child is collected from the facility;
  - (d) that the child may not be placed in the facility for a period exceeding four hours;
  - (e) the time agreed to for the collection at the facility of the child, which shall not be later than 23h00;
  - (f) the name and surname of the child;
  - (g) the age of the child;
  - (h) the name and address of the parent or guardian;
  - (i) the contact telephone number of the parent or guardian while on site;
  - (j) a stipulation to the effect that if the child is not collected within four hours of being placed in the facility, the steps to be taken to locate the patron;
  - (k) a stipulation to the effect that if the child is not collected by the patron upon being called upon to do so, such further reasonable steps as the licence holder may deem appropriate shall be taken to address the matter, which steps may include the notification of an appropriate authority,
  - (l) the signature, of the parent or guardian as confirmation that the procedures provided for in this Rule have been explained to, understood and accepted by the patron prior to placing the child in the child care facility, and
  - (m) the signature of the parent or guardian to serve as evidence that the correct parent or guardian has collected the child from the facility.
- (6) The above documentation shall be kept in secured storage areas and be easily accessible when required by the Board.
- (7) The information referred to above and digital images of the person booking the child into the facility, of the child and the person collecting the child, if such a person is not the same person who booked the child into the facility, shall be captured onto an electronic format and retained for a period of two years.

- (8) The operator of child care facilities shall provide a pager or similar device to the parents or guardians in the event that telephonic contact cannot be established on site.
- (9) Signs shall be conspicuously displayed within the licensed premises informing patrons of the location of the child care facility and shall inform patrons of the provisions of this Rule, prior to utilising this facility.
- (10) The entrance to the child care facility shall be monitored and recorded for the purpose of identifying persons entering and leaving the facility and the recordings thereof retained for a period of at least seven (7) days.

**13.12 Licence to be prominently displayed**

- (1) A valid licence issued in terms of the Act shall be prominently displayed in a conspicuous place in or on the licensed premises.

**13.13 Employees to be appropriately licensed**

- (1) A licence holder shall ensure that only appropriately licensed employees perform gambling-related duties.
- (2) All licensed employees shall be in possession of a card which shall contain the following printed information –
  - (a) a photograph of the relevant employee;
  - (b) the name of the employee to whom the card relates;
  - (c) the name of the licence holder;
  - (d) the job title of the employee to whom the card relates, and
  - (e) the employee number or the licence number assigned to the relevant employee by the Board.

**13.14 Dispensation**

- (1) The Board may approve alternative criteria or procedures other than those prescribed in these Rules, if the licence holder is able to prove to the Board that, notwithstanding such criteria or procedures, there are sufficient controls in place to ensure the integrity of the operation.

## CHAPTER XIV OFFENCES AND PENALTIES

### 14.1 Offences and penalties

- (1) A licence holder shall be guilty of an offence and be liable to –
- (a) a penalty of R10 000 per offence if –
    - (i) it fails to comply with the provisions of these Rules or its ICS relating to its organisational structure and jobs compendium or to implement the organisational structure and jobs compendium approved by the Board;
    - (ii) it fails to comply with the provisions of these Rules or its ICS relating to the keeping or maintaining of any book, account, record, register, ledger, inventory or other document required to be kept or maintained in terms of these Rules or its ICS or if such books, accounts, records, registers, ledgers, inventories or other documents are not up to date or in the correct format, or
    - (iii) it fails to comply with the provisions of these Rules or its ICS other than as specified in paragraphs (b), (c) and (d) of this Rule;
  - (b) a penalty of R15 000 per offence if it contravenes or permits the contravention of Rules 13.10 or 13.11;
  - (c) a penalty of R20 000 per offence if –
    - (i) notwithstanding the provisions of sub-rule (1)(a), it fails to comply with the provisions of these Rules or its ICS relating to any book, account, record, register, ledger, inventory or other document required to be kept or maintained in terms of these Rules or its ICS or the provisions and procedures to be followed relating to –
      - (aa) table game fills or credits;
      - (bb) table openers and closers;
      - (cc) documentation used to purchase chips at a gambling table;
      - (dd) slot machine slot shorts;
      - (ee) clearances and storage of drop;
      - (ff) counts and the transfer of all count proceeds;
      - (gg) the reconciliation of the count sheets and other documentation for gambling tax purposes;
      - (hh) key controls, and
      - (ii) card and dice controls;
  - (d) a penalty of R50 000 per offence if –
    - (i) it fails to comply with the provisions of these Rules or its ICS relating to its surveillance system or if it changes or modifies the approved surveillance system without the prior approval of the Board or if it fails to maintain its surveillance system in a proper working order;
    - (ii) it fails to comply with the provisions of these Rules or its ICS relating to its EMS or if it fails to maintain its EMS in a proper working order, or
    - (iii) it fails to comply with the provisions of these Rules or its ICS relating to IT.
- (2) In the event of –
- (a) a second offence, the penalty referred to in sub-rule (1) shall double provided that the maximum penalty per offence shall not exceed R100 000, and
  - (b) a third or subsequent offence, the penalty referred to in sub-rule (1) shall treble provided that the maximum penalty per offence shall not exceed R200 000.
- (3) For the purposes of this rule a licence holder's ICS shall be limited to those provisions of its ICS that are required to be incorporated into its ICS in terms of the Act.

- (4) The imposition of any penalty in terms of this Rule shall not preclude the Board from instituting any further or alternative disciplinary action against a licence holder.
- (5) All penalties imposed in terms of this Rule shall be payable within 30 days of the imposition of such penalty.
- (6) If a licence holder fails to pay any penalty or part of a penalty referred to in sub-rule (4) the licence holder shall in addition to such penalty pay interest on the outstanding amount of such penalty at a rate of ten percent of the outstanding amount of penalty per month or part thereof to a maximum of an amount not exceeding the outstanding amount of such penalty.
- (7) The Chief Executive Officer of the Board shall have the competency to impose any penalty in terms of this Rule.





